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ABSTRACT

This Systems and Procedures Exchange Center (SPEC) kit on affirmative action programs, which replaces an earlier SPEC kit on affirmative action, contains planning documents from Association of Research Libraries (ARL) member institutions and policy statements on affirmative action and equal employment opportunity from several universities. The kit comprises: (1) "Affirmative Action Plan for Equal Employment Opportunities (January 1976)" and "EEO (Equal Employment Opportunity) Update (1978)" (National Library of Medicine); (2) "Affirmative Action Policy (September 1976)" (University of Massachusetts-Amherst, University Library); (3) "Affirmative Action Plan for Fiscal Year 1980 (October 1979)" (Library of Congress); (4) "Affirmative Action Plan (December 1978)" (University of Maryland Libraries); (5) "Affirmative Action Plan (September 1977)" (library component of university plan--Columbia University); (6) "Personnel Policies: Equal Opportunity, Affirmative Action (February 1979)" (Michigan State University Library); (7) "Equal Opportunity" (University of Minnesota); and (8) "Equal Employment Opportunity Policy (revised 1979)" (University of Tennessee-Knoxville). The concise summary that introduces the collection briefly discusses profession-wide concerns and individual library programs. (THC)

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SEPTEMBER 1980

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AFFIRMATIVE ACTION PROGRAMS

KIT 67

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AFFIRMATIVE ACTION PROGRAMS IN ARL LIBRARIES

Although ARL libraries are actively participating in institution-wide affirmative action programs and also have developed internal procedures to provide equal employment opportunity and to encourage affirmative action for minorities and women, the assumption made in the 1974 SPEC Flyer #4 that "major profession-wide advances in the area of minority employment are not likely to occur in the immediate future" appears to be true. A limited minority labor pool, the comparatively lower salaries offered by a number of ARL libraries, and continued budget reductions which have decreased the funds available for recruitment efforts and salaries have proven to be major obstacles to the achievement of affirmative action goals for individual libraries as well as for the profession as a whole.

Profession-wide Concerns

The specific focus of library affirmative action programs continues to be directed toward the lack of minority employees, especially blacks, and toward the disparity between the large percentage of women employed and the small percentage who hold administrative positions. Overall progress to increase these numbers has been slow, according to available statistics and reports from the profession's associations. Minority employment continues to be restricted by the limited number of job applicants, especially blacks, in the labor pool. A recent survey conducted by the American Library Association's Office of Library Personnel Resources reports that the percentage of recent black graduates from ALA-accredited library school programs has remained at less than five percent since 1977. The same survey reports only a small increase in the number of all minorities who are recent graduates.

However, during this period, ARL libraries' utilization of minorities has kept pace with the numbers of available applicants in the labor pool, according to the three most recent ARL annual Salary Surveys. The percentage of minorities employed was 9% in 1977, dropped to 8% in 1978, and rose again in 1979 to 9%. The percentage of minorities in top administrative positions has remained at 5%. This survey does

not report figures for each minority group because the numbers employed are so small. At the same time, there has been some progress in promoting women to executive positions: While the percentage of women employed in ARL libraries declined in 1979 by one percent (from 62% in 1978), the percentage of women in top administrative positions increased by four percent (to 33%).

Individual Library Programs

ARL libraries first adopted affirmative action programs in the early 1970's to comply with federal and institutional requirements to provide equal employment opportunity to all applicants for positions and to take remedial action for minorities and women who previously had been denied this opportunity. While a few libraries developed separate affirmative actions plans, most participated in centralized programs of their institutions. Today, many institutions use a comprehensive, umbrella affirmative action plan that combines statistical reports on the numbers of women and minorities employed, along with goals and timetables for addressing any inequities. A number of ARL libraries are required to submit regular reports on their efforts to recruit, hire, and retain minorities and women to a central administrative office which has responsibility for monitoring equal employment efforts and evaluating the library's progress toward meeting its affirmative action goals.

Among the changes that have occurred in these programs in the last several years are: the inclusion of individuals with a physical or mental handicap and those with Vietnam veteran status as protected groups; institution of regular, usually monthly, internal systems for monitoring and reporting progress toward meeting goals and timetables; designation of affirmative action efforts as a specific responsibility for managers and supervisors and as an area which is included in performance appraisal reviews; creation of staff development programs; and the use of job analyses and consequent redistribution of work to facilitate career ladders and to assure that individuals who are performing equal work are compensated with equal pay.

The SPEC Kit on Affirmative Action Programs (#67, September 1980, 87 pages) contains affirmative action plan documents from ARL libraries and policy statements on affirmative action and equal employment opportunity from several universities. This kit is available to ARL member libraries and SPEC subscribers for \$7.50 and to others for \$15.00 prepaid, plus a \$2.00 per order handling fee and an additional \$3.00 per order if an invoice is required, from SPEC, ARL/Office of Management Studies, 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036.

AFFIRMATIVE ACTION PROGRAMS*
KIT #67 SEPTEMBER 1980

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*This Kit replaces Kit #4 (January 1974) on Affirmative Action.



NATIONAL LIBRARY OF MEDICINE
AFFIRMATIVE ACTION PLAN
FOR
EQUAL EMPLOYMENT OPPORTUNITY

Jan. 1976

MEMORANDUM

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
PUBLIC HEALTH SERVICE
NATIONAL INSTITUTES OF HEALTH
NATIONAL LIBRARY OF MEDICINE

TO : All Employees, NLM

DATE: January 28, 1976

FROM : Director, National Library of Medicine

SUBJECT: NLM Affirmative Action Plan

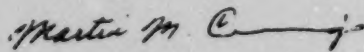
I am pleased to endorse the new NLM Affirmative Action Plan developed through the efforts of the EEO Advisory Committee. Particularly impressive is the fact that the Plan calls for specific actions, not only on the part of supervisors and Associate Directors, but on the part of employees.

In reviewing the accomplishments since our last Plan, I was pleased to note that we are addressing concrete objectives. We now have a firm structure for our Committees both here and in Atlanta.

Communication between management and employees has improved markedly. The significant progress and continuing trends in upward mobility as evidenced by the increased number of minorities and women in higher positions is commendable.

I would like to thank the Committee for their efforts in developing the new Plan and urge that we continue to evaluate it periodically against our objectives.

I continue to support the Plan and the EEO program and ask that managers, supervisors and employees work together towards its effective implementation.


Martin M. Cummings, M.D.

Enclosure
NLM Affirmative Action Plan

AFFIRMATIVE ACTION PLAN
FOR
EQUAL EMPLOYMENT OPPORTUNITY
January 1976

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I. PURPOSE

The purpose of the NLM Affirmative Action Plan is to provide equal employment opportunity for all employees regardless of race, religion, sex, national origin, color, or age. Our institutional responsibility for accomplishing these objectives within a specified time is essential.

These action steps are specific for the Library assembled through consultation between management and employee groups during all stages of development.

The plan reflects the Equal Employment Opportunity and Upward Mobility Programs of DHEW and NIH taking into account how NLM will specifically go about implementing these Department objectives.

To avoid duplication of effort, employees should be aware of pertinent information on the organization, function and role of the EEO staff and council at NIH. This can be found in the NIH Affirmative Action Plan, dated March 1975 which should be kept and read in conjunction with the NLM plan since they are so closely related. In addition, it is also important to know that the regulations on equal opportunity may be found in the Federal Personnel Manual, Chapter 713.

In reviewing our 1972 Plan, we found that a number of action steps had been completed therefore, we modified and up-dated many of these specific actions to ensure the completion of these actions on a continuing basis. This new Plan represents the concerted efforts of a Task Force and the NLM EEO Committee to review each specific action, responsibility, and target date of the original Plan. Among the changes, you will notice an emphasis on the responsibility of the individual employee; in some cases we have found that if the employee is aware of his or her EEO responsibility the action gets done a lot faster through their initiative.

The effectiveness of this Plan will be analyzed on the basis of periodic evaluations of measurable objectives. When these objectives have been accomplished we will have established significant changes within the organization. When these objectives are not accomplished, corrective steps will be instituted to ensure reaching the goals. A continuing surveillance and evaluation mechanism will assure better tracking of our objectives. These responsibilities rest with Management, EEO Coordinator and the several related EEO Committees who represent our employees. All have contributed to the development of this plan and should be committed to its successful implementation.

II. SPECIFIC ACTION STEPS

A. EDUCATION, TRAINING, AND DEVELOPMENT

The opportunity for employees to gain advancement by means of training and career development stands out as one of the single most important objectives of the Federal Service today. Denial of this opportunity to any employee because of race, color, religion, sex, age or national origin is to deny him the access to an inherent right granted upon his entrance in the Federal Service. Realizing that no perfect formula exists for the granting of these opportunities to all employees, we feel that the following action steps are potent means for achieving this end.

<u>ACTION STEPS</u>	<u>RESPONSIBILITY</u>	<u>TARGET DATE</u>
1. Give a seminar on training opportunities for persons in dead-end jobs.	Personnel Officer Supervisors	February 1976 and as needed
2. Consistent with program responsibilities, provide maximum opportunities to develop skills and gain experience needed to qualify for advancement through: a. Use of assignments, on-and-off-the-job training, and added responsibility. These activities are to be recorded in the Official Personnel Folder by use of SF-172. b. Personnel Management visits. A two year goal to visit all employees has been established to discuss with individual employees training, development and counseling in regard to their needs. c. Developing career ladder information to explain Upward Mobility opportunities to employees.	Personnel Officer Associate Directors	January 1976
3. Continue to encourage NLM employees to participate in DHEW and NIH sponsored upward mobility training programs through memorandums, notices, and seminars.	Director Personnel Officer	Established and Continuing

EDUCATION, TRAINING, AND DEVELOPMENT (CONT')

ACTION STEPS

RESPONSIBILITY

TARGET DATE

- | | | |
|--|--|---|
| 4. Continue to improve job opportunities for youth within the Federal Summer Employment Programs. Select and design jobs that develop skills and responsibilities. | Personnel Officer
Associate Directors | April, 1976 |
| 5. Designate specific developmental positions for persons whose advancement opportunities have been limited (e.g., LO - 5 Library Technicians, OA - 1 Administrative Management Trainee). These positions will be publicized by memo as well as by advertisement. | Executive Officer
Associate Directors | Established
and continuing as
ceiling permits. |
| 6. Establish an NLM supervisory program. A 40 hour training program within the first 6 months after becoming a supervisor is mandatory. This basic course should emphasize personnel practices, human relations, and sensitivity to the problems of minorities and women. Employee training, counseling, and the EEO Program should be covered in detail. A schedule for <u>periodic training</u> of <u>all</u> supervisors should be developed. | Personnel Officer
Associate Directors | Established.
Training sessions
semiannually. Review
July 1976. |

B. RECRUITMENT AND PLACEMENT

NLM should have greater employment of minorities and women in positions of higher responsibility and higher pay levels in all job series. Efforts must be increased to attract, actively recruit, and hire qualified women and persons of all minority groups. Recruiting must be designed to inform the public that this is our goal. Every effort must be made at all levels of recruitment to insure that present and potential employees know that NLM is a practicing equal opportunity employer. Where possible, initial consideration shall be given to qualified NLM employees.

SPECIFIC ACTIONS

RESPONSIBILITY

TARGET DATE

- | | | |
|---|--|--|
| 1. The Director will instruct his Associate Directors and EEO Coordinator to recruit qualified individuals from minority groups and women for mid-level and high-level vacancies. The EEO Coordinator will maintain a list of potential applicants for positions. | Director
EEO Coordinator | Established. Review
February, 1976. |
| 2. Annual reports shall be made to the Director and EEO Committee of methods used to make recruitment more effective for minorities and women. Special efforts should be made to use professional organizations engaged in recruitment activities. | Personnel Officer
EEO Coordinator | February 1976 |
| 3. Examine hours of tour of duty for possible flexibility within the 40 hour work week, continue to afford opportunities, for example for women who are heads of households, students, and personnel with unusual problems. | Associate Director
Executive Officer
Personnel Officer | February 1976 |
| 4. A position of GS-5/6/7 should be made available in OAM to receive on-the-job training in budget, personnel, and administrative management. | Executive Officer
Personnel Officer | Established
April 1972 and
continuing as ceiling
permits. |

RECRUITMENT AND PLACEMENT (CONT')

SPECIFIC ACTIONS

RESPONSIBILITY

TARGET DATE

- | | | |
|--|--|--|
| 5. A statistical profile of minorities and women will be conducted every 6 months to aid in identifying areas of the Library where recruitment efforts should be increased. This profile will be patterned after NIH EEO office's profile. | Personnel Officer
EEO Coordinator | Semiannually
(Fiscal year) |
| 6. Job vacancies with full official job descriptions will be posted in work areas. | Personnel Officer
Administrative Officer | Established and
continuing. |
| 7. NLM supervisors should actively seek out qualified handicapped people for employment. A report to the EEO Committee should be made annually in February. | Personnel Officer
Supervisors | Continuing
February |
| 8. Identify jobs which are expected to become vacant in the near future and begin early to identify potential candidates (minority and women) to ensure that a greater number of minorities and women will be selected. | Personnel Officer
EEO Coordinator | Continuing and
Revised annually |
| 9. Make special recruitment efforts to secure minority applicants for the Library Associates Training Program on an annual basis. | Associate Director, LO
Personnel Officer
EEO Coordinator | Established
and continuing
each November |
| 10. Advertise vacancies for NLM and NMAC where relevant simultaneously. | Personnel Officer | Established and
continuing |

C. PROMOTION

All employees should be assured that they have equal opportunity to develop and advance to their full potential. The procedures of the Merit Promotion Plan should be made known to all employees and should be uniformly applied.

SPECIFIC ACTIONS

RESPONSIBILITY

TARGET DATE

1. NLM will participate in the NIH opportunity skills file. NLM employees from GS-3 through GS-7 will be interviewed and the information will be placed in the upgrade component of the skills file. This file will list, by area of interest or job category sought, those employees seeking advancement opportunities outside their present position. The file includes current classification, additional training, special talents, and statements of type of work the employee wants to develop into a career. Input to the skills file will come from employees keeping their cards up-to-date on a regular basis. The NIH skills file will be used as a source for identifying employees in filling vacancies at NLM. Many deadended NLM employees will register their skills with the skills file and have the opportunity of being considered for jobs throughout NIH.
2. Supervisors will conduct an annual promotion review of their employees; recommending promotion, award, quality increases, and/or training as appropriate.
3. Administrative Officers will keep supervisors informed of personnel actions within their respective areas (i.e., promotions, reassignments, vacancies, etc.) Supervisors should keep their employees informed of the status of actions.
4. All denied requests for promotion shall be reviewed by the NLM EEO Coordinator upon request by the employee if the employee felt discriminated against.

Personnel Officer
Administrative Officers
Supervisors

Continuing
reviewed annually

Associate Directors
Supervisors
Personnel Officer

July 1976

Personnel Officer
Administrative Officers
Supervisors

Established and
continuing.

EEO Coordinator

Established and
continuing.

PROMOTION (CONT')

SPECIFIC ACTIONS

RESPONSIBILITY

TARGET DATE

5. Supervisors should have regular semiannual meetings with employees, and informal meetings at any time, to make clear what is expected to justify promotion and step increases. They should coordinate a schedule with their Administrative Officer.

Associate Directors
Supervisors
Employee

January 1976

6. Make sure every employee knows where he can get a copy of the NIH Merit Promotion Plan. Hold staff meetings to make sure every employee understands how the Plan works. Ensure that the principles and procedures of the NIH Merit Promotion Plan are followed.

Personnel Officer
Supervisors
Employee
EEO Coordinator

Established and
continuing

D. COMMUNICATION

Communication is a two-way street. Employees of the NLM should have an effective means of relating their concerns with the expectation of getting a response. The Affirmative Action Plan speaks to this need in assisting employees and management in their efforts to bridge the communication gap.

ACTION STEPS

RESPONSIBILITY

TARGET DATE

- | | | |
|---|--|------------------------------|
| 1. Develop a brochure containing information regarding NLM responsibility to implement equal employment to all employees; how to seek help in the areas of alcoholism, drugs, financing, psychiatric problems, housing, family affairs, child care, medical treatment, car pool and other relevant items. This brochure will be distributed to all employees. | Personnel Officer
Information Officer | April 1976 |
| 2. Provide bulletin board space for posting of items of interest, meetings, progress being made in EEO areas. | Executive Officer | Established and continuing. |
| 3. EEO Coordinator provides a memo to employees as an effective tool to disseminate information on all aspects of EEO: meetings, statistics, policies, etc. | EEO Coordinator | Semi-annually |
| 4. The EEO Coordinator's office and EEO Counselor will maintain an open-door policy to all NLM employees. This shall be actively publicized. It shall be made known to employees that they may state their views and problems without fear of reprisal. | EEO Coordinator | January 1976 and continuing |
| 5. Meetings of all employees in each program area will be held periodically to explain management procedures (i.e., promotions, awards, leave, etc.) to discuss the role of each program area in the overall NLM mission, and to answer employee questions. | Associate Directors
Supervisors | February 1976 and continuing |

COMMUNICATION (CONT')

ACTION STEPS

7. Educational programs shall be developed for NLM employees in the area of human relations. These might include films, formal training, discussions, opportunity for communications with the Director, Associate Directors, etc.

RESPONSIBILITY

EEO Coordinator

TARGET DATE

Plan to be developed by April-May 1976

E. EMPLOYEE RELATIONS

There is a relationship between NLM's ability to attract qualified minority group employees and women and the numerous personal adjustments that they must make in adapting to employment at the NLM. A need exists for guidance and counseling on personal as well as personnel matters.

ACTION STEPS

RESPONSIBILITY

TARGET DATE

- | | | |
|---|---|-----------------------------|
| 1. Coordinate with NIH Guidance and Counseling Branch and Employee Health Service to provide counseling. | Personnel Officer | Established and continuing. |
| 2. NLM will be represented at all NIH meetings in the areas of improvement of transportation as a significant factor in employment; housing availability in Montgomery County for low income employees; and child care for employees having children. In addition, seek to assist employees in similar problem areas as they arise. | EEO Coordinator | Established and continuing. |
| 3. Identify laws, regulations and practices which discriminate against employees of either sex; and recommend corrections. | EEO Coordinator
EEO Committee | February 1976 |
| 4. Orientation programs for new personnel shall contain a major section on the EEO program at NLM. Minority and women employees will conduct portions of the orientation. | Personnel Officer
EEO Coordinator
Supervisors | April 1976 |

F. MANAGEMENT OF THE NLM EQUAL EMPLOYMENT
OPPORTUNITY PROGRAM

In order to have an effective Equal Opportunity Program, the National Library of Medicine must provide the administrative machinery that will make the Affirmative Action Plan work. Provisions should be made for prompt and effective response to employees' complaints. Employees at all levels must be able to communicate their concerns to management officials and be aware of those actions that are or are not being taken. The program must be flexible enough to accommodate new goals or to change old ones when necessary. We must have a system for evaluating progress and for recognition of special achievements in the area of Equal Employment Opportunity.

SPECIFIC ACTIONS

RESPONSIBILITY

TARGET DATE

- | | | |
|---|---|-----------------------------|
| 1. All NLM supervisors and employees are hereby responsible for implementing and adhering to the principles of the Affirmative Action Plan. | Supervisors
Employees | Immediate |
| 2. An election will be held to bring forth representatives from program areas to serve on the EEO Committee. | Director, NLM | September |
| 3. The Director shall nominate two employees to serve as EEO Counselors (NLM and NMAC) with the advice of the EEO Coordinator and the EEO Committee Chairperson. | Director, NLM | Established and continuing |
| 4. The EEO Coordinator will establish a schedule to meet regularly with the Associate Directors of each program area to discuss plans and progress on Equal Employment Opportunity. | EEO Coordinator
Associate Directors | March 1976 |
| 5. Regular attendance of EEO Committee Chairman and EEO Coordinator at OAM staff meeting and Personnel Office staff meeting. | Executive Officer
Personnel Officer
EEO Coordinator
EEO Chairman | Established and continuing. |

MANAGEMENT OF THE NLM EQUAL EMPLOYMENT
OPPORTUNITY PROGRAM (CONT')

SPECIFIC ACTIONS

RESPONSIBILITY

TARGET DATE

6. An annual EEO Recognition Awards Ceremony will be held.

EEO Coordinator

Annually

7. The EEO Coordinator shall inform the Director immediately where monitoring and evaluation indicate failure to implement any of the action steps in this document.

EEO Coordinator

February and continuing.

CHARTER OF THE
NATIONAL LIBRARY OF MEDICINE
Equal Employment Opportunity Committee

I. Purpose

The achievement of equal employment opportunity for all citizens regardless of race, color, religion, sex, age, or national origin is the most serious challenge facing our nation today. The NLM EEO Committee must strive to assure that this goal of equal opportunity is achieved. It shall seek to eradicate discrimination including unfair employment practices, seek out new methods for providing training, education, and self-improvement, and assure the best possible utilization of skills and potential abilities of its employees so that they may best qualify for advancement.

The Committee shall adhere to and implement all guidelines and memoranda pertaining to equal employment opportunity which have been issued by the President, the Congress, DHEW, NIH and the NLM. It shall assist and advise in the establishment of an affirmative action plan for NLM and shall ensure its proper implementation.

II. Election of Members

Elections shall be held each September. All staff members of the NLM working in Bethesda shall be eligible to seek office. Names can be placed in nomination by any member of the Bethesda staff with the

consent of the nominee. Membership on the Committee shall consist of four persons from Library Operations, and one each from SIS, LHC, EMP, OAM/PIO/OD and OCCS.

Terms of office shall be for a two year duration, and shall be staggered so that no program area shall have representatives serving consecutive two-year terms. A Committee membership ratio of approximately one representative for each 50 staff members shall be maintained in all areas. The Chairman shall be appointed by the Director, NLM. He shall have the option of appointment from elected members of the Committee, or by selection of an additional member.

In the event of resignation of any elected member, the person receiving the second highest number of votes from that particular program area will be appointed to fill said vacancy by the program area director.

III. Meetings

The Committee shall meet once a month. Any seven members, including the Chairman, shall constitute a quorum. The Chairman shall vote only to break a tie. He shall designate an acting Chairman in his absence. Minutes of the meeting will be kept and distributed to members before the next meeting. Highlights of these minutes will be published in On-Line.

IV. Relationship of EEO Committee and EEO Coordinator and EEO Counselor

The Committee shall assist the EEO Coordinator in the development and any revision of the Affirmative Action Plan. The plan shall be monitored by the EEO Coordinator.

The Committee shall provide advice and counsel on cases of alleged discrimination in equal employment opportunity. It shall advise in the establishment of NLM practices to cover areas of concern. The Committee shall direct specific cases of discrimination to the EEO Counselor. A two-way channel of communication shall be established and maintained to ensure that all complaints will be properly resolved. The EEO Coordinator and EEO Counselor shall be members of the EEO Committee with full voting rights. The Personnel Officer shall be a liaison member of the Committee.

V. NLM/NMAC/EEO

The EEO Coordinator shall be responsible for maintaining active communication between the NLM EEO Committee and NMAC EEO Committee in Atlanta.

VI. Reports to the Director NLM

A report shall be presented to the Director, NLM every sixty days or whenever necessary advising him on progress made by the Committee.

1978

THE NLM EEO COMMITTEE IS PLEASED TO ANNOUNCE THE FIRST ISSUE OF
THE NLM EEO UPDATE.

THE PURPOSE OF THIS UPDATE IS TO PROVIDE EMPLOYEES WITH ITEMS OF
INTEREST THAT ARE OCCURRING IN THE NLM/NIH/DHEW EEO COMMUNITY.

OUR OBJECTIVE IS TO PROVIDE AN ORGAN THAT WILL BE INFORMATIVE AND
FLEXIBLE ENOUGH FOR YOU TO EXPRESS RELEVANT IDEAS ON ISSUES IM-
PORTANT TO YOU. IN THIS FORUM, WE PLAN TO ADDRESS AND RESPOND TO
THESE ISSUES AS THEY ARE PRESENT.

THE UPDATE WILL BE ISSUED PERIODICALLY.

NLM EEO ADVISORY COMMITTEE

PRIORITY ACTION ITEMS

On Tuesday, August 8, 1978, the Chairman of the NLM EEO Committee, Mr. Melvin Spann, made a presentation to the OD Staff, assisted by the Personnel Officer, Mr. James Hartman, and the EEO Coordinator, Mr. Arthur Robinson. The primary purpose of the briefing was to inform the OD Staff of the five major objectives identified by the NLM EEO Committee as "top priority action items." The five items represent what the committee regards as necessary for fulfilling NLM's firm commitment to equal employment opportunity and Affirmative Action. These items reflect the major areas of concern within the Library community and should, if properly addressed, be central components of a responsive, progressive NLM Affirmative Action Plan.

The action items result from a critical examination of each action step within the existing NLM Affirmative Action Plan; the perceived obstacles to achieving equity in NLM's employment practices; the comparative status of NLM relative to other BID's in meeting EEO objectives; a sampling of NLM employees with respect to current EEO concerns; and consultation with the Personnel and the Executive Officers as to the practicality of the objectives being considered.

The Committee spent much time and effort to produce a list of substantive EEO objectives to positively assure equity in all aspects of employment within NLM, regardless of race, color, religion, sex, age, national origin, or handicap. It is in this light that the NLM EEO Committee makes its strong appeal for management's assistance in accomplishing these objectives. The priority action items are as follows:

- I. Develop career ladder opportunities for NLM employees in occupations having limited advancement potential and provide employees information explaining Upward Mobility opportunities. These and other Upward Mobility opportunities will be publicized by an "all hands" memoranda, as well as by normal posting.

Allocate specific developmental positions in each major program area within NLM. Establish position descriptions from entry to target levels in each major program area to provide relevant on-the-job training. Establish selection/promotion criteria for each level represented.

Examples of possible developmental positions/ladders are:

- LO - Library Aid/Technician to senior technician
- OAM - Administrative Management Trainee to professional administrative position
- OCCS - Computer Aid/Technician to Computer Operator; Computer Trainee to Computer Programmer; Computer Programmer Trainee to Computer Programmer/Systems Analyst
- SIS - Technical Information Assistant/Technician to Technical Information Specialist
- LHNCBC - Engineering Aid/Technician, with specialization to Senior Technician
- NMAC - Audiovisual Assistant/Technician to Audiovisual Specialist; Education Assistant/Technician to Education Specialist
- EMP - Grants Management Assistant/Technician to Grants Management Specialist

Responsibility: Supervisors EEO Coordinator
 Personnel Officer Executive Officer

II. Administer an effective recruitment and placement program for minorities, women, and handicapped persons.

- A. Identify jobs which are expected to become vacant in the near future, as well as newly-established positions, and begin early to identify potential candidates to ensure that a greater number of minorities, women and handicapped persons will be given an equal opportunity for selection.

Responsibility: Personnel Generalists
 EEO Coordinator

- B. Require an annual EEO Coordinator's report to the Director and EEO Committee of methods used to more effectively recruit and place minorities, women and handicapped persons. Special efforts should be made to use referral programs of professional associations.

Responsibility: EEO Coordinator

- C. Require that the EEO Coordinator, with assistance from the Personnel Officer, generate an annual statistical evaluation and report of NLM employment by grade, sex, race, age, handicap, length of time in grade, etc., to be disseminated to the Director, the EEO Committee, and all supervisors.

Responsibility: EEO Coordinator

- D. Place qualified minorities, women and handicapped persons as members of the Board of Regents, Associate Directors, and other high-level managers.

Responsibility: Director submit names through NIH to Secretary, HEW

- III. Re-establish program to employ youth within the Summer Aid Program, and any other component(s) of the Summer Employment Program. Select and design jobs that develop skills and a sense of responsibility.

Responsibility: Personnel Officer
Supervisors

- IV. Continue, and further refine, special recruitment/placement efforts to secure minority applicants/participants in the Library Associates Training Program on an annual basis.

Responsibility: Coordinator, Library Associates Program
EEO Coordinator
Personnel Officer

- V. Continue to have a full-time EEO Coordinator monitoring the NLM EEO Program and reporting directly to the Director, NLM.

Responsibility: Director, NLM

APPRAISAL OF SUPERVISORY PERFORMANCE IN EQUAL EMPLOYMENT OPPORTUNITY

The Public Health Service is proposing to present requirements for the appraisal of PHS supervisors in meeting their EEO responsibilities. The document which describes the system, Appraisal of Supervisory Performance in Equal Employment Opportunity is being reviewed by a Task Force chaired by the Director, Division of Equal Opportunity, to develop a comprehensive approach to the implementation of the PHS policy.

We will keep you informed when recommendations from the Task Force are developed.

HANDICAP PROGRAM

A recommendation has been submitted to the Communications Committee of the NIH EEO Council by the NLM EEO Coordinator that:

1. A sign language course be established in the NIH training office for supervisors and other interested employees;
2. The MCM/D Communication System* be made available in all institutes for use by the hearing impaired; and
3. Sign language interpreters be available during all employee meetings, workshops, etc..

*Manual Communications Module for the Deaf

CONTEST

CONTEST

CONTEST

The NLM EEO Committee is looking for a logo (symbol) for its report, the "EEO UPDATE." Please submit your design to the EEO office C/O the EEO Coordinator, Arthur J. Robinson, Jr., Room M104, phone 496-1046. Entries are due by close of business Monday, Sept. 11, 1978.

The EEO UPDATE committee will select the best logo. The winner will be featured in the next issue of the UPDATE. In addition to seeing your logo on every issue of the UPDATE, a \$25 bond will be given for the winning entry.

EEO Committee Members Do Not Qualify

CAREER DEVELOPMENT OPPORTUNITIES

The NIH provides a number of training opportunities throughout the year. NLM employees are encouraged to participate where eligible. Career development is available through participation the following programs:

	<u>Opening date</u>	<u>Closing date</u>
1) STRIDE	August 28	Sept. 25, 1978
2) MANAGEMENT INTERN	July 31	Sept. 25, 1978
3) OFFICE SKILLS	August 7	Sept. 11, 1978

Details regarding these programs may be obtained from Sally Burke, Personnel Office, NLM, Room M105, phone 496-6093. Announcements are posted on the bulletin board on the A level.

Ms. COLUMN

In this column, we plan to report on issues, concerns and happenings as they relate to women. If you have an item which you feel should be reported in this column, write it up and submit it to the office of the EEO Coordinator, Room M104. Every attempt will be made to report on it in the next issue.

PERSONNEL NOTES

Questions or other concerns about personnel policies, practices, etc., may be submitted to the EEO coordinator. He will contact the Personnel Office for comments and/or answers, which will be responded to in forthcoming issues of the "UPDATE" under "Personnel Notes." Phone inquiries are also acceptable on extension 496-1046.

University of Massachusetts/Amherst
University Library

September, 1976

AFFIRMATIVE ACTION POLICY

I. INTRODUCTION AND AFFIRMATIVE ACTION POLICY STATEMENT

The Affirmative Action Program outlined below was prepared in accordance with instructions from the Office of the Provost dated January 8, 1973. The program includes numerical goals, time-tables, and procedures based on these instructions and on "Higher Education Guidelines" issued by the Office for Civil Rights of the Department of Health, Education, and Welfare.¹ The purpose of the program is to eliminate discrimination against members of groups which have been in a disadvantaged position in libraries, universities, and in the general society and to further employment opportunities for persons in these groups. Such groups include, but are not limited to, women and minorities such as Afro-Americans, the Spanish-surnamed, American Indians and American Orientals.

II. LIBRARY STAFF

The library staff is made up of two main divisions which are treated separately in the program outlined below.

A. Professional Library Staff

1. Composition, Availability, and Utilization

The professional library staff is composed of librarians in ranks I through V. The basic qualification for appointment is a fifth-year degree from an accredited library school, or training in an appropriate specialized area.

Recruiting of professional library staff members is done nationally. Librarianship has traditionally been a woman's profession, and more than 85 percent of all librarians are women.² The number of men in the profession has been increasing in recent years, however, and 20 percent of the master's degrees in librarianship during the five year period 1965/66 - 1969/70 were awarded to men.³ Minority groups are significantly under-represented among graduate librarians; an estimated 5% of recent graduates is Afro-American,⁴ and the number of other minority librarians is about one-half that percentage.⁵ Recent efforts to recruit minority students for education in librarianship will undoubtedly result in an increase in the next five years.

2. Goals for Appointment of Women and Minorities

- a. Because of the preponderance of women in the profession and the increasing number of men, and in view of the ultimate aim of erasing sex stereotypes, it does not seem reasonable to set numerical goals for the hiring of women. In order to be equitable in its policies, the library should set as a goal the hiring of women and men at a level commensurate with their availability; as their relative proportions change, the specific goal for each year will change.
- b. An effort will be made to have an equitable distribution of men and women among the various ranks. The goal for the next five years will be to have an appropriate percentage in each rank.
- c. The library will attempt to recruit minority group members to the professional library staff. The goal for the next five years will be to have a number of minority professionals on the staff commensurate with their availability on the national level. Until the library's goals are attained, among equally qualified candidates, first consideration will be given to members of minority groups.

3. Recruiting for Positions

A vigorous effort will be made to seek out qualified minority candidates. Among the measures to be taken will be the following:

- a. Continuation of the Library's present policy of advertising vacancies in media which will reach all groups of potential applicants.⁶ Advertisements will prominently display an Equal Employment Opportunity statement.
- b. Recruiting among the library staffs of predominantly black universities by sending announcements of vacancies.
- c. Recruiting through groups representing minority librarians (for example, the Black Caucus of the American Library Association).
- d. The following up of leads suggested in the Recruitment Newsletter published by the American Library Association and through contact with the Association's Office for Recruitment.
- e. Solicitation of the names of qualified candidates from minority librarians already on the staff.

- f. Recruiting from library schools known to have special minority student programs.
- g. Seeking out candidates through personal contacts with librarians at other institutions.

4. Internal Transfers

Opportunities for lateral internal transfers will be publicized to the staff, and appointments will be made according to approved procedures.

B. Classified Staff

1. Composition, Availability and Utilization

The classified staff employed in the Library are in State and hourly positions, in grades rated 3 through 12. Qualifications for entry through grade 3 rated positions are basic clerical skills; promotion requires more complex clerical skills, basic bibliographical skills, some language facility, or similar qualifications, which can often be attained through on-the-job training.

Recruiting for classified employees is done in the Springfield-Chicopee-Holyoke metropolitan area. The labor force from which recruiting is done is approximately 60 percent men and 5 percent minority.⁷

2. Recruiting

The Library is dependent upon the University Personnel Office to refer candidates for vacant positions on the classified staff that are not filled by promotion from within. In order to increase the percentage of minority staff members, the Library will cooperate with the Personnel Office in the following ways:

- a. By urging the Personnel Office to refer minority applicants for positions.
- b. By participating, to the degree that staffing and budgetary constraints will allow, actively in the Personnel Office's recruitment program in the inner city area (for example, through the Urban League).
- c. By urging the University Administration to allocate funds from available financial resources to facilitate the Personnel Office's recruitment

efforts. Funds are needed for transportation subsidies, day care facilities, specialized training programs, and similar programs.

- d. By soliciting information about available applicants from minority staff already in the Library and transmitting this information to the University Personnel Office.

3. Goals

The library will attempt to recruit 8 percent minority staff members for the anticipated vacant positions during the next five years; this goal is set higher than the percentage of minorities in the local labor force because of the higher unemployment rate among minority groups. Special consideration will be given to minority applicants until the library's goal is reached; in cases where there are equally qualified candidates, the minority candidate will be preferred until the Library's goal is achieved. The Library will make a special effort to achieve equitable minority representation at all levels of the classified staff. An attempt will be made to achieve equitable distribution of men and women at all levels of the classified staff.

III. PERSONNEL POLICIES AND PROCEDURES

A. Salaries and Ranks

An affirmative action report will be prepared by the Affirmative Action Officer at the conclusion of each annual review of professional staff and will include for the professional staff an analysis of salaries paid by sex, rank, and minority group. Any necessary equity adjustment will be recommended at this time. The affirmative action report will also include for the classified staff an analysis of ranks by sex and minority group. An effort will be made to correct any inequitable patterns that may be developing.

B. Staff Development

Staff members may request the opportunity to acquire or improve skills for the purpose of attaining increased responsibilities and higher rank by seeking a change in assignment. The Library's staff development officer will be charged with coordinating the arrangements, when possible for this in-service training.

C. Personnel and Grievance Committees

Appointed Library committees such as the Personnel Committee, whose recommendations affect salaries and promotions granted to the professional library staff should have representation from all appropriate groups, including women and minorities.

D. Grievances

Channels for registering grievances on the basis of discrimination because of race, color, religion, sex, or national origin will be publicized both among the present staff and among applicants for positions. ⁵

E. Offers of Positions

All requests to make an offer will include documentation of procedures followed in attempting to fill the particular vacancy under consideration. Justification for the offer will include evaluation of the Affirmative Action I Program and the effect that filling the particular position will have on the overall program.

F. Exit Interviews

Formal exit interviews with all departing staff members will be conducted by the Director of Libraries or his designated alternate.

IV. IMPLEMENTATION OF THE AFFIRMATIVE ACTION PROGRAM

- A. All members of the Library staff will be informed of the Library's Affirmative Action Program and will be held responsible for implementing its goals and for creating an atmosphere conducive to its success.
- B. Specific responsibility for the day-to-day implementation of the program will be placed upon the personnel and supervisory staff. The personnel staff will be responsible for recruiting efforts and may call upon other members of the staff to assist in fulfilling affirmative action goals.
- C. The Library will encourage all supervisors to attend any special training programs provided by the University for the purpose of developing sensitivity to the need to eliminate sex and minority stereotypes.

V. MONITORING THE PROGRAM

The Affirmative Action Officer, reporting to the Director of Libraries, will serve as a monitor of the Affirmative Action Program. The functions of this position will include annual evaluation of the program, so that increases in the availability of minority candidates and other contingencies can be taken into account and reflected in revised goals and deadlines. The monitor will also review the program on a continuing basis to insure that adequate efforts are being made to achieve its goals and will maintain liaison with the University's Affirmative Action Officer.

Policy Recommended:

Marjorie Karlson
Pat Graves
Richard MacDonald
February 6, 1973

Approved:

Richard J. Talbot
Director of Libraries (Acting)
February 13, 1973

Revised Policy Recommended:

Vlasta Greenbie
Affirmative Action Officer
September 3, 1976

Approved:

Siegfried Feller
Director of Libraries (Acting)
September 14, 1976

FOOTNOTES

1. Federal Register, vol. 37, no. 224 (Nov. 18, 1972), 24682-24696.
2. Occupational Outlook Handbook, 1972-73 Edition, U. S. Bureau of Labor Statistics Bulletin 1700 (Washington, G. P. O., 1972), p. 251.
3. Earned Degrees Conferred [1965/66 - 1969/70] Summary Data, U. S. Office of Education, National Center for Educational Statistics, Washington.
4. Virginia Lacy Jones, "A Dean's Career", in The Black Librarian in America, ed. by E. J. Josey (Methuen, Scarecrow Press, 1970), p. 40 states that the number of Negro graduates from accredited library schools from 1961 to 1966 was about 4 percent of the total number of graduates, and that about one-half of these were accounted for by one library school, that of Atlanta University. The annual survey on "Placements and Salaries" published in the Library Journal shows that Atlanta University placements accounted for about 2.5 percent of the total placements reported for the years 1967-1971.
5. A survey taken in Spring 1972 showed 310 blacks in accredited graduate library school programs, and a total of 141 from other minority groups. Recruitment Newsletter, American Library Association Office for Recruitment, (Fall 1972).
6. In recent years the library has generally advertised positions in the following newspapers:

Boston Globe, New York Times, Springfield Union

and in the following magazine:

Audiovisual Education/Communications Technology
7. Census of Population: 1970. General Social and Economic Characteristics. Final Report PC (1)-C23, Massachusetts, U. S. Bureau of the Census (Washington, G. P. O., 1972), tables 85, 92, and 98.
8. Personnel Office Newsletter, University of Massachusetts at Amherst, vol. 1, no. 3 (Nov. 16, 1972).

UNITED STATES GOVERNMENT

Memorandum

The plan expires on Sept. 30th of this year. It is to be replaced with an entirely new plan that is based on targeted populations (copyright specialist, librarian, economist etc.) This new plan is to be negotiated with our unions

LIBRARY OF CONGRESS

TO : Department Directors
Labor Organizations

DATE: October 1, 1979

FROM : Donald C. Curran, The Acting Librarian of Congress

SUBJECT: Affirmative Action Plan for Fiscal Year 1980

The attached Affirmative Action Plan for Fiscal Year 1980, which was developed in accordance with the provisions of the Equal Employment Opportunity Act of 1972 and Library of Congress Regulation 2010-3, has been approved and is hereby distributed for your information and dissemination.

Fiscal Year 1980 has been characterized as the "Transition Year" in affirmative action throughout the Federal Government, indicating the increased efforts that will be made to improve the performance and effectiveness of affirmative action programs in all agencies, including the Library of Congress. You and the employees of the Library will be kept informed about the program. Your cooperation with the efforts of this year would be greatly appreciated.

Attachment

THE LIBRARY OF CONGRESS
EQUAL EMPLOYMENT OPPORTUNITY
PLAN OF AFFIRMATIVE ACTION FOR FISCAL YEAR 1980

Policy on Affirmative Action and Equal Employment Opportunity.....	1
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THE AFFIRMATIVE ACTION OFFICE
THE LIBRARY OF CONGRESS

The Library of Congress
Policy on Affirmative Action and
Equal Employment Opportunity

I would like to take this opportunity to stress the firm commitment within the Library of Congress to equal employment opportunity and affirmative action. The Library is committed to eliminating discrimination on the basis of race, color, religion, sex, age, and national origin in all aspects of its personnel policies, practices, of equal employment opportunity through a continuing affirmative action program. The program is designed to encourage and assist staff members to reach their maximum potential.

It is the responsibility of every staff member to assure that this commitment is fulfilled, not just because it is Library policy deriving from law, but because we believe in the principle of equal opportunity for everyone. We must be willing to work together to accomplish the fundamental objectives of equity, and in doing so we will meet our responsibilities in this important area of human relations. By acting positively to assure equity in all aspects of employment, we will be doing our best to carry out obligations and to utilize most efficiently our most valuable asset---the staff of the Library of Congress.

Daniel J. Boorstin
The Librarian of Congress

AFFIRMATIVE ACTION OBJECTIVES FOR FISCAL YEAR 1980

The objectives listed by no means comprise the whole of the Library's planned affirmative actions during FY 1980, but rather those actions designated to be given top priority and which, it is reasonably believed, can be initiated or completed during the fiscal year with the resources expected to be available. The statement of Current Situation or Problem provides the basis for the need for action; the Goal/Remedy/Correction Sought sets forth the Library's perceived solution to the stated Current Situation or Problem in long range (three to five years) terms; the FY 1980 Objective(s) describes the progress the Library intends to make toward the achievement of the Goal/Remedy/Correction Sought during the twelve month period of this specified Affirmative Action Plan; the names of the offices with primary responsibility for the objective are shown in parentheses.

I. TRAINING, APPRAISAL, AND PROMOTION (TAP) PROGRAM

<u>Problem/Current Situation</u>	<u>Goal/Remedy Correction Sought</u>	<u>FY 80 Objective</u>
There are employees who lack qualifications normally required for higher level positions but whose job performance indicate that if given training and on-the-job developmental experiences they could successfully perform in higher level positions.	Each year a specified number of employees will be competitively selected for Training, Appraisal, and Promotion (TAP) opportunities (in accord with the procedures of Appendix A of this Plan). These employees will receive training, be placed in positions with more opportunities for advancement upon demonstrating their ability to perform at a higher level, and promoted as specified in approved Training Agreements.	1. During FY 1980 the Library is committed to filling a total of 31 positions under the TAP program, distributed by Department as shown below: Processing Serv. 10 Research Serv. 8 CRS 4 Copyright Office 4 Assoc. Lib. Mgmt. 2 Librarian's Office 1 Assoc. Lib. Nat'l. 1 Programs Law Library 1 TOTAL 31 (Personnel and Labor Relations Office, Departments, Affirmative Action Office, Women's Program Office)

FY 80 AA Plan

I. TRAINING, APPRAISAL, AND PROMOTION (TAP) PROGRAM (continued)

FY 80
Objective

2. Department Directors shall be responsible for ensuring that their departments fulfill all TAP commitments they have made.

3. All labor organizations shall have the right to nominate a participant on all respective bargaining unit TAP selection panels in the Library.

II. TUITION SUPPORT

Problem/Current Situation

There are employees who do not have the educational and training qualifications required for promotion to higher positions.

Goal/Remedy Correction Sought

These employees will be assisted in continuing their education and training through Library support in tuition payments; these employees will be assisted in competing for higher positions in ways not conflicting with LC merit principles and procedures.

FY 80
Objective

1. The Tuition Support program will be continued and operated in accordance with the Procedures for Tuition Support Program (Appendix B).

2. The Training Office will conduct group counseling session for employees who have completed their education/training objectives under the Tuition Support Program to advise them on effective methods of identifying

FY 80 AA Plan

II. TUITION SUPPORT (continued)

FY 80
Objective

employment opportunities and higher grades and applying for consideration.

3. Tuition Support funds will be allotted 75% to undergraduate applicants and 25% to graduate applicants.

4. On an annual basis, the Library shall report on the number of applications received, broken down by undergraduates and graduate courses.

III. AFFIRMATIVE ACTION RECRUITMENT AND SELECTION

<u>Problem/Current Situation</u>	<u>Goal/Remedy Correction Sought</u>	<u>FY 80 Objective</u>
A review of the distribution of Library employees by grade, race, and sex indicates an underrepresentation of minorities and women in senior grade levels.	The Library will make every reasonable effort consistent with merit principles to increase the representation of minorities and women in senior grade levels of Library employment.	1. Department Directors will encourage recommending officers to interview qualified minority and female applicants referred by the Recruitment & Placement Office for vacancies in grades GS-13 and above. (Department Directors) (This procedure will be followed until the Library signs contracts with recognized

FY 80 AA Plan

III. AFFIRMATIVE ACTION RECRUITMENT AND SELECTION (continued)

FY 80
Objective

labor organizations, and will be followed after such contracts are signed if it is not in conflict with any provisions thereof.)

2. An EEO representative will be appointed as an observer on selective rating panels as a non-voting participant. Where applicable, this provision of the Affirmative Action Plan is in addition to Section 9B of Article 18 of the AFSCME (locals 2910 and 2477) contracts and in no way intended to change or modify the specific terms and provisions of Section 9B of Article 18. (Equal Opportunity Office)

3. The Women's Program Coordinator and the Affirmative Action Coordinator will assist in identifying female and minority applicants and will keep track of how many are in fact interviewed and considered.

FY 80 AA Plan

IV. VALIDATION OF PERSONNEL SELECTION PROCEDURES

<u>Problem/Current Situation</u>	<u>Goal/Remedy Correction Sought</u>	<u>FY 80 Objective</u>
In 1974 the Library initiated a program for validating all its Personnel selection procedures: all employment tests were analyzed and a number cancelled; qualifications requirements on postings were analyzed and significant inconsistencies discovered; a job analysis of three professional Librarian positions was completed and recommendations made. In May 1976 the Director of Personnel proposed a three-phased long-range plan for continuing the Library's selection procedures validation efforts.	The Library will establish or adopt validated qualification standards and postings for all positions in the Library of Congress. Efforts will be aimed at achieving consistency in postings (Phase I), followed by, or concurrent with adaptation of Qualification Standards (HANDBOOK X-118) (Phase II); and through job analysis of positions in the Library to establish validated qualifications (Phase III).	1. The Personnel and Labor Relations Office will develop and publish a <u>Library of Congress Qualifications Handbook</u> based on adaptations from Civil Service Commission Qualifications Handbook (HANDBOOK X-118). 2. The Library shall consult with all labor organizations over the contents of its proposed Library of Congress Qualifications Handbook and new personnel selection procedures. The Library shall carefully consider the recommendations of the labor organizations.

V. CAREER ASSISTANCE PROGRAM (CAP) AND RETRAINING

<u>Problem/Current Situation</u>	<u>Goal/Remedy Correction Sought</u>	<u>FY 80 Objective</u>
Technological changes including automation are expected to eliminate the need for the positions of a significant number of employees. Many of	The Library will develop, publicize, and provide a special Career Assistance Program (CAP) for employees expected to be affected by future automation. The program	1. Special counseling and retraining will be provided for the employees of any division designated by the Director of Personnel because of

FY 80 AA Plan

V. CAREER ASSISTANCE PROGRAM (CAP) AND RETRAINING (continued)

these employees are unlikely to be able to successfully compete for other positions in the Library unless they are retained.

will be operated according to the procedures specified in Appendix B of this plan and will include both retraining and transfer opportunities to assist these employees in continuing their Library careers.

expected future impact of technological change and automation.

VI. WOMEN AND MINORITIES IN MANAGEMENT

<u>Problem/Current Situation</u>	<u>Goal/Remedy Correction Sought</u>	<u>FY 80 Objective</u>
Although more than half of the Library's staff are women, and more than 80 percent of the Library profession is female, only about one-fourth of positions at GS-13 and above are held by women, and less than one-tenth by minorities.	The Library will attempt to utilize the skills of qualified women and minorities by increasing their numbers in supervisory, management, and executive positions.	1. Encourage women and minorities who feel they have management potential to identify themselves for professional and executive training, self-development sessions, and temporary reassignments as outlined in this Section. (Departments, Women's Program Office, Affirmative Action Office, Personnel and Labor Relations Office) 2. Send more women and minorities to professional training, including executive training. (Departments, Women's Program Office, Affirmative Action Office)

FY 80 AA Plan

VI. WOMEN AND MINORITIES IN MANAGEMENT (continued)

3. Provide a number of self-development sessions to encourage staff members to develop their managerial skills.
(Women's Program Office, Affirmative Action Office, Training Office)
4. Operate graduate program in management with classes at the Library and Training Office. (Women's Program Office, Affirmative Action Office, Training Office)
5. Operate, monitor, and evaluate Administrative Detail Program, under which staff members compete for selection for three-month details to gain administrative experience. (Departments, Women's Program Office, Affirmative Action Office)
6. Offer Affirmative Action Management Fellowships to employee applicants under the procedures in Special Announcement 78-14 date May 24, 1978.
7. The programs offered under this section will be used as qualifying experience and can be counted as time in-grade.

FY 80 AA Plan

VII. PART-TIME WORK

<u>Problem/Current Situation</u>	<u>Goal/Remedy Correction Sought</u>	<u>FY 80 Objectives</u>
The Library recognizes the possible benefits of alternative work schedules and is working toward encouraging the establishment of, and conversion to, more part-time jobs. At present, the Library, with four percent of its staff on part-time schedules, has only half the proportion of part-time workers as do Executive branch agencies, which are restricted in their use of such employees by personnel ceilings.	Opportunities will be increased for part-time employment at the Library toward the goal of eight percent of Library positions.	1. Increase the number part-time positions a minimum of two per division, preferably adding one professional and one support position, except in divisions of less than 25 staff members where the number of part-time positions should be increased by at least one. (Personnel & Labor Relations Office) 2. Monitor departmental efforts to increase the opportunities for part-time employment. (Personnel & Labor Relations Office, Women's Program Office, Financial Management Office) 3. Assist the departments in working out arrangements for the implementation of the part-time policy. (Personnel & Labor Relations, Women's Program Office, Financial Management Office)

FY 80 AA Plan

VIII. CAREER COUNSELING

<u>Problem/Current Situation</u>	<u>Goal/Remedy Correction Sought</u>	<u>FY 80 Objective</u>
Women and minorities are often at a cultural disadvantage in terms of career planning.	The Library should utilize staff talent to the fullest extent possible.	Career counseling will be offered to employees on a continuous basis. (Affirmative Action Office, Women's Program Office, Personnel & Labor Relations Department Offices)

IX. AFFIRMATIVE IMAGE

<u>Problem/Current Situation</u>	<u>Goal/Remedy Correction Sought</u>	<u>FY 80 Objective</u>
The brochures, pamphlets, official publications, training materials, etc., used by an institution can often be a clue to that institution's attitude about equal opportunity.	The publications, forms, postings, displays and training materials the Library of Congress should reflect a dedication to the principles of equal employment opportunity.	1. An effort will be maintained to remove all sex-specific language from forms, postings, publications, and position descriptions. (Personnel & Labor Relations, Women's Program Office) 2. The Library of Congress training materials will be reviewed and stereotypes based on sex or race removed. (Women's Program Office, Affirmative Action Office, Training Office)

FY 80 AA Plan

X. SUPERVISORY RESPONSIBILITY FOR EEO

<u>Problem/Current Situation</u>	<u>Goal/Remedy Correction Sought</u>
The supervisors and managers of the Library, who have responsibility for ensuring that equal opportunity is enforced, may not be aware of these responsibilities and held accountable for their efforts in this area.	Supervisors and managers should be aware of their equal opportunity responsibilities and held accountable for them. 1. Equal Opportunity responsibilities will be written into the position descriptions of all supervisors and managers as such position descriptions are reviewed and revised. (Personnel and Labor Relations, Affirmative Action Office, Women's Program Office) 2. Supervisors' and managers' performance in the area of equal opportunity responsibilities will be evaluated annually. (Personnel and Labor Relations, [Re LCR 2017-2] Departments) 3. A training course on EEO for Managers will be conducted for supervisors and managers. (Personnel and Labor Relations, Affirmative Action Office, Women's Program Office) 4. Applicants interviewed for supervisory or management positions will be asked about their commitment to affirmative action principles and made aware of the equal opportunity responsibilities of the job. (Departments, Women's Program Office, Affirmative Action Office)

FY 80 AA Plan

XI. ASSISTANCE TO HANDICAPPED EMPLOYEES

<u>Problem/Current Situation</u>	<u>Goal/Remedy Correction Sought</u>
The Library has not developed and implemented a program to insure that the talents of handicapped persons on its staff and in its labor market are being utilized at the level of their highest potential.	The Library of Congress will undertake a program of Affirmative Action to employ, advance in employment, and otherwise treat qualified handicapped individuals without discrimination based upon their physical or mental handicap. 1. Promulgate and communicate to all staff the Library's policy of non-discrimination of handicapped employees or applicants in any of the Library's personnel policies and practices. (Handicapped Employees Coordinator, Personnel and Labor Relations, Information Office) 2. Develop a greater awareness among managers and supervisors on the importance of objective and positive evaluations of handicapped applicants and current handicapped staff for employment and promotion within all departments of the Library. (Handicapped Employees Coordinator, Library Environment Resources Office) 3. Develop a greater awareness among staff who work with the handicapped as to special problems and situations that must be dealt with to help the handicapped employee function effectively. (Handicapped Employees Coordinator, LERO) 4. Conduct a census of handicapped employees through a voluntary and confidential basis that will permit handicapped persons to identify themselves for possible benefit under the Affirmative Action Program, (inclusion in a total skill profile, career counseling and training). (Handicapped Employees Coordinator)

APPENDIX A

Procedures for Training, Appraisal and Promotion (TAP) Program

The Affirmative Action Training, Appraisal and Promotion (TAP) Program will be continued on a Library-wide basis according to the procedures outlined in this appendix. Operational responsibilities for TAP will continue to be located in the Recruitment and Placement Office, Office of Personnel. All applications will be submitted to and processed by the Recruitment and Placement Office.

A. Postings, Eligibility, and Application

1. Each position will be announced on a special TAP posting which will be distributed throughout the Library. The posting will identify the position and its departmental location, summarize the duties and responsibilities of the position, specify minimum qualification requirements, and indicate the primary factors on which selection will be based.

2. To be eligible to compete for a TAP position, an employee must have either completed at least one (1) year of uninterrupted service in the Library in a full-time permanent or indefinite status by the close of business on the closing date indicated on the posting, or he or she must have completed the equivalent of one year full-time service in part-time permanent or indefinite status. For example, an employee who has worked half-time (20 hours per week) for two years meets the requirement for one year full-time service.

3. Employees will be permitted to compete only for positions posted at their existing grade level or higher except employees in positions with no promotion plan or at the highest grade of their promotion plan may apply and will be considered for TAP positions posted at a grade lower which includes a promotion plan that progresses to a grade higher than the employee's existing grade. For example, an employee in a GS-7 position (which has no promotion plan to GS-8 or higher) may compete for a TAP position posted at a lower grade but which has a promotion plan to GS-8 or higher; that employee could not compete for a TAP position posted at a lower grade which had no promotion plan up to GS-8 or higher.

4. A standard form LW 16/56 (rev 12/78) must be completed by each applicant and received in the Recruitment and Placement Office no later than the close of business on the closing date indicated on the posting.

B. Selection Procedures

1. Each application form will be reviewed by the Recruitment and Placement Office to determine if minimum qualification requirements have been met. If they have not been met, the application form will be returned to the applicant along with an appropriate explanation. If minimum qualification requirements have been met, the Recruitment and Placement Office will request a performance evaluation from the applicant's supervisor.

2. All applications (application for vacancy plus supervisory evaluation) will be evaluated by a Rating Panel made up of a representative from the Affirmative Action Office, Women's Program Office, or Equal Employment Opportunity Compliance Office, if available, the department's Executive Officer, or designee, a departmental staff member who is fully knowledgeable about the work to be performed in the position position, and a representative of the labor organization representing the bargaining unit position being filled. (No labor organization representative will be included on panels filling non-bargaining unit positions.) The departmental staff member shall not be anyone in the supervisory chain of authority over the position. Using the selection factors shown on the posting, the Rating Panel will rate all applicants. Based on those ratings and the supervisory evaluations, the applicants will then be ranked. The 12 best-qualified candidates will be interviewed by the panel. From these 12 applicants, the panel will determine the top three. The same core questions will be asked of all applicants.

3. If fewer than 12 applicants meet the minimum qualification requirements, all of them will be interviewed by the Rating Panel.

4. The names of the top three applicants, with applications and supervisory evaluations will then be forwarded to the immediate supervisor of the position, or other appropriate departmental official, who, subject to the approval of the department director, will interview all three applicants and make the final selection from among the top three applicants determined by the panel. The same core questions will be asked all applicants.

5. If the panel recommends three persons, the department must make a selection from among them. If fewer than three applicants are sufficiently qualified, they shall also be referred to the selecting official. If there is no selection, the selecting official must provide reasons in writing to the Director of Personnel who will decide whether the reasons given are sufficient to justify non-selection. If the Director of Personnel finds the reasons to be insufficient, the selecting official shall be notified to make a selection from the initial list. The correspondence between the selecting official and the Director of Personnel shall be made part of the official record.

Supervisory evaluations of employees selected among the top three in a TAP competition will be appended to their regular performance evaluations and remain in their personnel file.

C. Offer and Acceptance of Training Agreement

1. In accepting the TAP position, the successful applicant agrees to enter into an Affirmative Action Training, Appraisal, and Promotion Agreement with the department. This agreement will identify the specific training requirements which must be satisfied by the trainee during his training program. These requirements will be based on the supervisor's detailed assessment, in consultation with the trainee, of the gaps between the trainee's current knowledges, skills, and abilities and those required by both the trainee and the department director, or his or her designee.

2. Each training agreement will include a provision for supervisory evaluation of the selectee's progress. Such evaluation shall be given both orally and in writing and at intervals of 4, 8, and 12 months. Promotion of the employee to the next highest grade for that position will be made as soon as the employee consistently performs at the next highest level and in accordance with the training agreement. An agreement may be modified with the joint consent of the Library and the trainee as the progress of the trainee or other conditions warrant. It will be the responsibility of the department office to follow up evaluations.

D. Failure to Complete Training Requirements

If a trainee fails to complete the requirements specified in the agreement, he/she will be given a 60-day advance notice in writing that he/she may be returned to either his/her former position, or to a similar position at the same grade. Such notices shall, at the request of the trainee, be reviewed by the department director. Consistent with the TAP agreement such notices are not appealable.

E. Fiscal Year Goals

The number of positions to be posted under the TAP program will be reflected in the "Fiscal Year Objectives" section of each year's Affirmative Action Plan.

APPENDIX B

Procedures for Tuition Support Program for Fiscal Year 1980

The Tuition Support program will be continued during Fiscal Year 1980 according to the procedures outlined in this appendix. Operational responsibilities for this program will continue to be located in the Training Office, Office of Personnel and Labor Relations.

A. APPLICATION PROCEDURES

Each staff member who wishes to be considered as a participant whether a previous or current participant, must apply directly to the Training Office during the month designated and announced by the Training Office. Form LW 4/76, Application for Tuition Support, may be obtained from division offices. The applicant should call the Training Office, extension 6348, for an appointment with a training counselor if assistance is needed to complete the form. A counseling session will be subsequently arranged to assist the applicant in developing or updating a required Career Development Plan. A report of the applicant's last performance rating will also be requested by the Training Office. The official application for Tuition Support funds will consist of the following: (1) Application for Tuition Support (Form LW 4/76), (2) Career Development Plan, and (3) Supervisor's Eligibility Certification.

B. ELIGIBILITY REQUIREMENTS

To be eligible for tuition support, a staff member must meet the following requirements by the starting date of the course:

1. Be a full-time member, with permanent or indefinite status, in grades GS/GT-8 or below or equivalent wage schedule pay levels, with one year continuous satisfactory service; or,
2. Be a part-time staff member with permanent or indefinite status in grades GS/GT-8 or below or equivalent wage schedule pay levels, with two years continuous satisfactory service. Part-time staff members will receive tuition support on a prorated basis based on percentage of time worked (50% entitlement if staff member works 50% of a full-time work week; 40% if work week is 40%, etc.);
3. Have received at least a satisfactory rating on the last within-grade evaluation and not be subject to current disciplinary action;

4. Meet the entrance requirements of the facility expected to provide the training prior to nomination for training. The Training Office suggests attendance at schools in local area of residence to avoid expensive out-of-state resident fees, where charged.

5. Be willing and able to participate in training during off-duty hours;

6. Be pursuing training related to the career objectives identified in a Career Development Plan approved by the Training Office and related to the Library's work activities and position requirements. The Career Development Plan is to be developed in consultation with a counselor of the Training Office.

C. SELECTION CRITERIA

The Training Office will rank all the applicants according to the following criteria:

1. GROUP A: Staff members whose objectives may include study for an Associate or Bachelor's Degree, certificate programs or individual courses, will receive first consideration for funding and will be ranked by length of service in the Library. (The staff member in this group with the most service will be ranked first, the employee with the next amount of service second, and so on until all employees have been ranked.)

2. GROUP B: Staff members whose objectives may include study for a Master's, Doctorate, or other graduate degrees or post graduate study, will be ranked in a second category and will also be ranked by length of service in the Library.

All employees ranked in Group A will receive 75 percent of available funds and employees ranked in Group B will receive 25 percent of available funds. All employees will receive equal consideration at time of application and until the Group A and Group B rankings are determined and published by the Training Office.

ALL EMPLOYEES INTERESTED IN PARTICIPATING IN THE TUITION SUPPORT PROGRAM DURING FY 1980 MUST APPLY DURING THE MONTH DESIGNATED AND ANNOUNCED BY THE TRAINING OFFICE in order to be considered. Employees who fail to apply during the designated month will not receive tuition support until the needs of employees in both Group A and Group B have been met.

D. SELECTION

Tuition Support for FY 80 will be approved to the extent funds are available. Any Tuition Support funds not used will be offered to staff members who failed to apply during the designated month, but are otherwise eligible.

E. PROGRAM REQUIREMENTS

1. A successful Tuition support applicant is required to apply for individual course approval on Optional Form 170, Request, Authorization, Agreement and Certification of Training, with the following stipulations:

(a) Optional Form 170 must be received in the Training Office at least 20 days prior to the beginning date of the class.

(b) Optional Form 170 should not be delayed even though scheduling of classes by the school is unknown. Request should be made to take the next prescribed course(s) in the career development program. Call assigned Training Office counselor if assistance is needed. Necessary adjustments can be made later by the Training and Budget Offices, if required.

(c) Questions or concerns should be referred to assigned counselor in the Training Office for assistance, as the 20-day stipulation will be strictly enforced during FY 80.

Staff members should activate Form 170 to meet individual registration dates.

2. Form LW 4/76a, Obligated Service Agreement, must be submitted with each Optional Form 170 for all non-government training. Failure to complete an approved course successfully may result in a requirement for the staff member to repay the tuition cost.

3. When withdrawing from a class, for any reason, the guidelines of the institution/college for charges and refunds are to be followed. Tuition billed to the Library by the school for portions of classes attended by staff members may result in the same requirement as stipulated in paragraph 2. above for repayment. Each Tuition Support participant, therefore, must be familiar with the withdrawal requirements of his/her particular school. In addition, the Training Office must be notified within five days after official class withdrawal and provided with a copy of withdrawal forms.

4. Failure to comply with terms of obligated service agreement will require the following action:

(a) Participant will submit, in writing, reasons for withdrawal or not completing course satisfactorily, through his/her immediate supervisor, division and department (as determined by the department) to the Training Office.

(b) Each addressee will indicate his/her recommendation for waiver or repayment of cost.

(c) After an evaluation by the counselor and the Employee Development Officer, a recommendation will be made to the Director of Personnel who has final approval authority.

5. Each participant shall send copies of grades to the Training Office within 90 days after completion of the training since schools are not required to provide grades to the Training Office. Failure to furnish grades shall result in a delay of approval of further training requests.

6. Each participant is required to have on file in the Training Office a copy of the study program as prescribed by the school, i.e., freshman year, sophomore year, etc. If a copy of the program has not been furnished to the Training Office, this shall result in a delay of training approval. If assistance or clarification is needed, call your counselor on extension 6348.

7. A participant may be suspended from the program for a period of one academic term for:

(a) Failure to complete course requirements in order to receive a grade and/ or failure to withdraw officially if unable to complete the course;

(b) Failure to maintain a cumulative grade point average of C or better;

(c) Failure to furnish grades to the Training Office.

8. Repeated failure to complete approved courses or to maintain a C average will result in suspension from the program for one academic year. The staff member will then have to resubmit an application and be re-evaluated along with others applying for Tuition Support.

9. Tuition Support will be limited to not more than \$300 per semester, not to exceed \$900 per year, or \$200 per quarter, not to exceed \$800 per year for each staff member. Any expense in excess of these amounts is the personal liability of the employee.

FY 80 AA Plan

APPENDIX C

Procedures For Career Assistance Program (CAP)

Introduction

The Career Assistance Program (CAP) is designed specifically and exclusively for the purpose of assisting those employees whose positions are expected to be eliminated by automation to continue their careers at the Library of Congress. The implementation of the Career Assistance Program (CAP) will be limited to the employees of those organizations particularly identified as being impacted by Library automation efforts.

Designation of Organizations for CAP

Organizations that will be affected by future automation and are therefore eligible for the CAP shall be designated by the Director of Personnel. Such designations will be of units or Divisions within the Library and will be publicized to the staff via Special Announcement and through recognized labor organizations in accordance with LCR 2026.

Activities of CAP

The Library will explore, develop, and, where possible, implement additional methods of providing job-related training for the purpose of assisting employees impacted by automation to remain in the Library. Activities that may be pursued under this program include, but are not limited to, intensive job and career counseling, special courses to equip these employees with job-related qualifications needed to compete for posted positions, and retraining for positions expected to become vacant at the Library in the near future.

Employees and recognized labor organizations will be kept fully informed of activities initiated under the Career Assistance Program (CAP).

Responsibility for CAP Projects

Operational responsibility for the Career Assistance Program (CAP) is delegated to the Director of Personnel, who will receive planning, research, staff, and other support assistance from the Affirmative Action Office, the Women's Program Office, and all Departments of the Library.

UNIVERSITY OF MARYLAND LIBRARIES

UNIVERSITY OF MARYLAND
COLLEGE PARK, MARYLAND 20742

December 15, 1978

To: Elske v. P. Smith, Assistant Vice Chancellor for
Academic Affairs

From: Maureen S. Schechter, Assistant Personnel Librarian

Re: Affirmative Action Plan

Enclosed is the information you have requested from the Libraries for the Academic Affairs Affirmative Action Compliance Plan. I have also enclosed the data requested on student assistant employees.

I have fully documented the process of determining the workforce and utilization analyses and have retained this documentation in my files. Should you wish to have any or all of this, please call me. I have heeded your advice to refrain from forwarding "voluminous reports and appendices."

In the course of my work, I began a study to determine the reasons for the major underutilization of Black American librarians. I will forward our findings to you when this study has been completed.

Please call me if you need additional information or if you wish to discuss any of this.

MSS/djr

Encl.

University of Maryland, College Park Libraries
Affirmative Action Compliance Plan - Associate Staff

Work Force Analysis

Associate staff employees within the library system are in two distinct occupational groups: librarians and senior systems analysts. The librarians are ranked in a four-step system and perform a variety of functions as reflected in position descriptions. The requirements for education and experience for these positions are similar. Rank is not relevant to function and librarians constitute a single occupational unit of analysis.

The data on library associate staff employees for the workforce analysis was obtained from University payroll entry records maintained by the Libraries. The data on campus associate staff employees was provided by the Office of the Vice Chancellor for Academic Affairs as obtained from the Data Research Center:

The data are current as of October 1978. The data used are valid and can be verified by the Data Research Center and examination of Library payroll entry records.

The workforce analysis was done for both occupational groups, librarians and senior systems analysts. Further analysis was done of the professional librarian workforce at College Park and of the racial distribution of librarians and all associate staff at College Park. This information is shown on the charts on the following pages.

WORKFORCE ANALYSIS BY RACE AND SEX

UNIT: LIBRARIES

DATE: OCTOBER 1, 1978

A M E R I C A N

Asian Black Hispanic Indian White

OCCUPATIONS

95

LIBRARIANS

SENIOR SYSTEMS ANALYSTS

Total	Men	Women	Tot	M	W	Tot	M	W	Tot	M	W	Tot	M	W	Tot	M	W
75	30	45	3	1	2	1	1	0	0	0	0	1	1	0	70	27	43
2	1	1	1	0	1	0	0	0	0	0	0	0	0	0	1	1	0

RACIAL DISTRIBUTION OF LIBRARIANS AND ASSOCIATE STAFF AT U.M.C.P., 1978

<u>EMPLOYEE GROUP</u>		<u>RACIAL/ETHNIC GROUP</u>					
		Asian Americans	Black Americans	Hispanic Americans	Native Americans	Other	TOTAL
librarians	number	3	1	0	1	70	75
	proportion	.04	.01	--	.01	.93	1.00
associate staff	number	7	40	4	2	284	340
	proportion	.02	.12	.01	<.01	.84	1.00

Data Source: Library payroll entry records and DRC

Date: October 1, 1978

Utilization Analysis for Librarians

A utilization analysis has been performed for the librarians' occupational group. An analysis of the senior systems analyst occupational group has not been done because there are fewer than five positions in that group.

A national search is conducted for most librarian position vacancies. Therefore, the geographical recruiting area for this occupational group is defined to be national and a national availability labor pool is used in the derivation of utilization ratios.

The most current and reliable source of information on the availability of women and minority librarians in the national workforce is the Association of Research Libraries' Annual Salary Survey, 1976-1977. It does not include data on specific racial/ethnic groups.

Utilization ratios were derived for women and minority librarians. A separate utilization ratio was also derived for Black American librarians because the proportional racial distribution of librarians to associate staff at College Park differs by more than $\pm .05$.

The most current and reliable source found for data on the national availability pool for Black American librarians is the 1975 EEO-1 Report Summary of Nationwide Industries issued by the U.S. Equal Employment Opportunity Commission.

These two sources provided the following availability proportions:

Women librarians in academic libraries:	.616
Minority librarians in academic libraries:	.085
Black American librarians and information center personnel:	.033

Three utilization ratios were derived for the occupational group of librarians.

The results are as follows:

$$\begin{array}{lcl} \text{Women librarians:} & \frac{\text{Workforce}}{\text{Availability}} = \frac{.600}{.616} & = .97 \end{array}$$

$$\begin{array}{lcl} \text{Minority librarians:} & \frac{\text{Workforce}}{\text{Availability}} = \frac{.066}{.085} & = .77 \end{array}$$

$$\begin{array}{lcl} \text{Black American librarians:} & \frac{\text{Workforce}}{\text{Availability}} = \frac{.013}{.094} & = .13 \end{array}$$

UTILIZATION ANALYSIS: WOMEN AND MINORITIES

UNIT: LIBRARY

WORK GROUP: ASSOCIATE STAFF

DATE: OCTOBER 1, 1978

<u>OCCUPATION</u>	<u>WORKFORCE%</u>		<u>AVAILABILITY%</u>		<u>UTILIZATION RATIO</u>		<u>INTERIM GOALS</u> (PERCENTAGE RANGE)	<u>LONG TERM GOALS</u> (PERCENTAGE RANGE)
	<u>WOMEN</u>	<u>MINORITY</u>	<u>WOMEN</u>	<u>MINORITY</u>	<u>WOMEN</u>	<u>MINORITY</u>	<u>WOMEN</u> <u>MINORITY</u>	<u>WOMEN</u> <u>MINORITY</u>
LIBRARIANS	60%	6.6%	61%	8%	.97	.77	6-7%	60-65% 7-10%

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77

UTILIZATION ANALYSIS - BLACK AMERICANS

UNIT: LIBRARY

WORK GROUP: ASSOCIATE STAFF

DATE: OCTOBER 1, 1978

<u>OCCUPATION</u>	<u>WORK FORCE %</u> <u>BLACK AMERICANS</u>	<u>AVAILABILITY%</u> <u>BLACK AMERICANS</u>	<u>UTILIZATION RATIO</u> <u>BLACK AMERICANS</u>	<u>INTERIM GOALS</u> <u>BLACK AMERICANS</u>	<u>LONG TERM GOALS</u> <u>BLACK AMERICANS</u>
LIBRARIES	1%	9%	.13	3-5%	7-10%

Interpretation of Utilization Ratios

The utilization ratio for women librarians is .97. This indicates a reasonable balance between the number available and the number employed.

The utilization ratio for minorities is .77 which indicates some underutilization of minorities.

The utilization ratio for Black Americans is .13 which indicates a major underutilization. There is some question as to the validity of this utilization ratio because the data on the number of Black Americans available in the labor pool was taken from a report which combined all librarians and information center personnel and was not specific to academic librarians. Also, this data was compiled in 1975. This indicates a need to continue to search for more current availability data on Black American academic librarians.

The availability data on female and minority librarians is reliable and current as it has been taken from the most recent Association of Research Libraries' annual salary study. This organization has indicated that it plans to include data on specific racial/ethnic groups in future salary studies. The Office for Library Personnel Resources of the American Library Association is also acutely aware of the need for this data and is currently working to establish a means to obtain such data.

Goals and Timetables

1. To increase the number of Black American librarians by 5-7 individuals within the next five years.

As an interim goal, to increase the number of Black American librarians by 2-3 individuals within the next three years.

2. To increase the number of other minority librarians by 2-4 persons within the next three years.
3. To identify and articulate promotional opportunities for women and minority librarians within the next year.

Note: As of November 1, 1978, there are two Black American librarians employed.

These goals and timetables will be monitored by the Libraries Affirmative Action officer. They will be reviewed annually and will be updated as appropriate.

Action Programs

1. Evaluate recruitment and selection procedures for the employment of librarians. Continue to advertise in minority media publications. Establish a system to record data on the race and sex of applicants for vacant librarian positions to assist in the evaluation of recruitment efforts.
2. Establish an attrition reportage process for librarians to provide the necessary information for an analysis of the turnover rate. Continue to conduct an exit interview with each terminating employee.
3. Review library personnel procedures and policies to ensure that they are non-discriminatory.
4. Evaluate the performance appraisal and review program and identify ways in which it may be used to facilitate the promotion and retention of women and minority librarians.
5. Evaluate orientation and training programs to ensure that they are non-discriminatory.
6. Review all librarian position descriptions and work assignments. Plan to implement changes which will facilitate entry by minorities and enhance promotional opportunities for women and minorities. Continue to review each description for a vacant position to ensure that the position requirements for education and experience are appropriate to the level of responsibility.
7. Plan and conduct a study of all librarian salaries to assess equity for women and minorities.
8. Publicize opportunities for minority student education in librarianship and for financial assistance to encourage classified staff, student assistant employees and all students to enter the profession.
9. Work with women and minority librarians to encourage and assist them to develop their career plans.
10. Review the means for distribution of information on equal employment opportunity and affirmative action to staff and applicants for employment. Plan adjustments that will ensure the widest distribution possible.
11. Study the reasons for the major underutilization of Black American librarians and develop further action programs in our efforts to achieve full utilization.

UMCP Libraries: Student Assistant Employees

The attached table shows the number of students employed by the library system by race and sex as of October 1, 1978. The figures include students employed under the College Work Study Program in addition to those who are paid from the Libraries' labor and assistance budget.

The data have been taken from the payroll entry records for student employees which are maintained in the library. Some possible limitations on the data are:

- Students are temporary employees and frequently have resigned well before they are actually removed from the payroll. The Libraries' carry many students on the payroll for the summer months with the assumption that they will return to work in the Fall. It is likely that some of those carried over, but not working for the Fall semester, had not been removed from the payroll by October 1, 1978.
- The student informs us of his or her race/ethnic group by completing a payroll information form when he or she is hired. Currently, this information is written in by the student assistant and is not recorded by HEW codes.

UMCP Libraries: Student Assistant Employees

<u>NUMBER</u>	<u>TOTAL</u>	<u>RACE</u>					<u>SEX</u>	
		Asian	Black	Hispanic	Native	White Other	Male	Female
Head Count	413	33	65	5	3	307	138	275
Proportion	1.00	.07	.15	.01	<.00	.74	.33	.66

65

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Columbia University
in the City of New York

NEW YORK, N.Y. 10027

PRESIDENT'S ROOM

MEMORANDUM

July 11, 1978

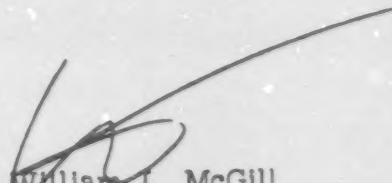
SUBJECT: 1977 Affirmative Action Plan

The Office for Civil Rights of the Department of Health, Education and Welfare has recently approved Columbia's revised Affirmative Action Plan. This revised plan is the result of many months of study and analysis within the University and of collaboration between University and government officials. In taking note of the successful conclusion of these efforts, I wish to give my personal endorsement to the program set forth in the Plan, to call for its implementation and to reaffirm the University's policies of nondiscrimination and equal employment opportunity.

It is the settled policy of Columbia University that all personnel actions are and shall be taken without regard to race, color, religion, national origin, sex, or handicap. If any individual nonetheless feels that such discrimination was involved in any matter regarding his or her employment, the University has established procedures by which grievances can be weighed and redress sought. These procedures are described or alluded to in the Affirmative Action Plan and can be explained in detail by our Acting Equal Opportunity Officer, Mr. Glen A. Waggoner. I encourage anyone having a discrimination grievance to discuss the matter with Mr. Waggoner and seek his assistance.

Copies of the revised Affirmative Action Plan are available in the Office of the Equal Opportunity Officer, and in the offices of each vice president and dean. Copies will also be maintained at the reference desks of Butler Library (Morningside Campus) and Long Library (Health Sciences Campus), in the libraries of Lamont-Doherty Geological Observatory and Nevis Laboratories and in the University personnel office at Harlem Hospital.

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William J. McGill
President

R

C. Officers of the Libraries

Officers of the libraries include the University Librarian and other librarians appointed for full-time or part-time service by the Trustees or the President on the nomination of the University Librarian. The designation "librarian" applies only to a person professionally qualified to assemble appropriate collections of library materials, develop and maintain library services, and further the use of library and information resources for instruction and scholarship. There are currently some 135 officers of the libraries.

Librarians at Columbia are in some ways like instructional officers, in others like administrative personnel. They are expected to continue study and research in their field and to advance themselves professionally, while assuming, in many instances, increasing administrative and supervisory responsibility. Officers of the libraries thus

hold both a professional rank and a position assignment, and they are hired and promoted in terms of each. Classification systems for both the professional ranks and the position categories have been devised and are shown as Appendix 6 to this Plan.

1. Recruitment and Hiring. The Columbia Libraries recruit personnel from both inside and outside the University for vacant positions at all levels. The form the recruitment effort takes depends on the level of expertise and experience deemed necessary to meet the responsibilities of a position.

The Assistant University Librarian for Personnel reviews each position vacancy before it is advertised to make sure that the description of job duties is precise and complete and that the requirements of subject expertise, language skills, and experience are appropriate.

Position vacancies are advertised widely through such media as the Sunday edition of The New York Times, the Chronicle for Higher Education, and "Jobline" of the New York State Library Association. Moreover, placement offices of various accredited library schools, primarily on the Eastern seaboard, are routinely contacted. In addition, for positions at a high level, the recommendation of

candidates is sought from peer members in the Association of Research Libraries. Notices of all vacancies are posted throughout the Columbia libraries system to determine if there are members of the staff who are themselves interested and qualified for a position or who can recommend a candidate for consideration.

All applications for a position receive consideration by staff members of the Libraries, and after all applicants are screened, the more promising candidates are invited for personal interviews. Final selection is made by the University Librarian.

2. Monitoring Process. As in the case of officers of instruction, no offer of appointment as a full-time or part-time officer of the libraries may be tendered without the prior affirmative action clearance of the Executive Vice President for Academic Affairs and Provost, and in requesting such clearance, the University Librarian must submit to the Provost the same materials as those required of a dean or department chairman for an instructional appointment. As with officers of instruction, the Provost generally bases his affirmative action clearance on the recommendation of the Faculty Affirmative Action Advisory Committee, which reviews library appointments for procedural compliance with the Affirmative Action Plan.

3. Promotion. Because each officer of the libraries holds both a professional rank and a position assignment, possibilities for promotion are twofold: advancement in rank and elevation to a position of increased responsibility. Theoretically, a librarian of lowest professional rank could be appointed to a position in any category, but generally the two systems of promotion, though distinct, are commensurate.

The general criteria for promotion in rank are quality of performance in the area of the candidate's responsibility, the quality of service on library committees and task forces, library instructional activities, professional activities outside the library, research and academic achievement, and participation in University affairs. While the quality of job performance is the most important consideration in any advancement in rank, an individual must achieve high distinction over a long period of time, not only at Columbia, but also in the profession generally for promotion to the highest rank of Librarian IV. For all promotions in rank, a committee of five members of the professional staff--the Professional Review Committee--reviews materials prepared by the candidate and his or her supervisor and other documentation obtained by the Committee and makes recommendations to the University

Librarian. Any individual wishing to appeal a decision regarding a promotion in rank may invoke the grievance procedures mentioned below and described in detail in the Personnel Policy Manual and reprinted in full as Appendix 9 to this Plan.

For promotion to a position having a greater degree of responsibility, an individual may compete for any vacant position in the library system. Internal candidates for library openings are not preferred to candidates from outside the University, and to secure a promotion of this kind, a current officer must prevail in the competition. As noted above, descriptions of all library vacancies and the qualifications required to fill them are posted regularly throughout the library system, and any individual who feels that he or she is suited for such a position may apply for it by contacting the Assistant University Librarian for Personnel. Promotions of this kind are subject to the same affirmative action review procedures described above for new hires.

4. Compensation. The system of salary remuneration for officers of the libraries takes into account both the nature of the duties performed and the quality of professional performance. Salary ranges have been established

for the various combinations of rank and position category and are implemented in the Libraries without regard for the sex or ethnicity of any individual. In each case the rank, position and professional performance of the individual determine salary.

5. Release and Termination. An officer of the libraries may be separated from service either because of inadequate performance or because the officer's position is being terminated.

When financial exigency or the discontinuance or curtailment of an activity leads to the termination of a position, every effort is made to relocate the individual within the library system. Should no other suitable position be available, however, one to six months' advance written notice of termination is given to the individual.

Whenever an appointment is terminated for inadequate performance, termination is preceded by a written explanation to the employee. The individual may contest such action by requesting a hearing before a special committee, and the University Librarian gives full consideration to the findings and recommendations of the committee in reaching a final decision.

Individuals not promoted in rank to Librarian II after a maximum of three years in service are not reappointed.

6. Grievance Procedures. Officers of the libraries may seek redress of grievances through procedures described in detail in the Personnel Policy Manual and reprinted in full as Appendix 9 to this Plan. Officers of the libraries may discuss individual discrimination complaints confidentially with the Equal Opportunity Officer.

3. Officers of the Libraries

(a) Projected Vacancies. The library staff at Columbia, taken as a whole, has remained stable in size in recent years, and it is not expected to expand or contract during the period from 1977 to 1980. Thus, employment opportunity in the Libraries for this period may be projected on the basis of recent hiring experience. During the last five years, 71 vacancies--about 14 a year--have been filled. Half of these have been entry-level positions and half have involved positions requiring previous experience in a research library. Thus, it is expected that some 42 positions will be filled during the period from 1977 to 1980--21 at the entry level and 21 at an advanced level.

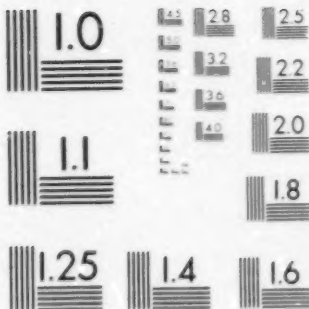
(b) Availability Data. Persons hired in the Columbia Libraries must have completed the master's degree in library service at an accredited library school, and those hired at the entry level at Columbia nearly always come to the University directly after receiving the degree. Those hired at an advanced level, on the other hand, nearly always bring with them one or more years of experience at a research library. Consequently, since half the new appointments in the coming years are expected to be at the entry level and half at an advanced level, the hiring pool, exhibited below,

that shows the proportion of women available for library positions is weighted 50% with data prepared by the American Library Association for master's degrees in library service received at accredited American schools during the year 1974-75, and 50% with data furnished by the Association of Research Libraries for those employed in 92 American and Canadian research libraries during 1975-76. Because data prepared by the Association of Research Libraries includes no information on minority group availability, the pool for minority group hiring is weighted 50% with the American Library Association data and 50% with tabulations of U.S. 1970 Decennial Census data for persons with six or more years of college and declaring themselves to be librarians or archivists.

(c) Hiring Goals. On the basis of availability data determined in this way,* the following hiring goals for projected full-time vacancies can be established:

Officers of the Libraries				
Projected Vacancies	Women		Minorities	
	Pool	Goal	Pool	Goal
42	70.5%	30	7.6 %	3

* Further analytical work currently under way at the Association of Research Libraries and the American Library Association might provide improved availability data on research librarians. Should this data prove significant, availability pool estimates and goals may require revision.



MICROCOPY RESOLUTION TEST CHART
 NATIONAL BUREAU OF STANDARDS
 STANDARD REFERENCE MATERIAL 1010a
 (ANSI and ISO TEST CHART No. 2)

d. The Equal Opportunity Officer conducts an Annual Review and Evaluation of the University's compliance with and progress under the Affirmative Action Plan and any related requirements of the Government which have gone into effect during the year. The Annual Review and Evaluation includes an in-depth evaluation of the effectiveness of the affirmative action program and recommendations for improvements in unit and/or University-wide response. Applicant flow data compilations, the Self Evaluation Reports and the reports of the Administrative Monitoring Committee and the Faculty Committees will be incorporated in the Annual Review and Evaluation. The deans and vice presidents will be given the opportunity to add written comments on the Review and Evaluation prior to its submission to the President.

2. Government Reports. Columbia furnishes a bi-annual "Higher Education Staff Information Report--EEO-6" to the Department of Health, Education and Welfare, covering statistical data on the sex and ethnicity of employees and on salary ranges. The first EEO-6 Report, for the period ended September 30, 1975, is available for inspection at the office of the Equal Opportunity Officer.

D. Plan Revision and Implementation

The Equal Opportunity Officer will coordinate revisions of the Plan as required by Federal regulations.

APPENDIX 6

OFFICERS OF THE LIBRARIES: RANKS AND POSITION CATEGORIES

The University Statutes underscore the relationship between the University Libraries and the academic programs of the University and reaffirm the traditional Columbia view that Officers of the Libraries, a distinctive group within the University, are allied with the several faculties in accomplishing instructional and research objectives. This perception of research librarianship at Columbia serves as the cornerstone for the Libraries' professional staff structure.

The professional staff organization of the Columbia Libraries includes two distinct elements: (a) a system of position categories and (b) a system of professional ranks. With the exception of a few senior officers, each professional staff member holds a position in the administrative organization that is classified into one or another of five categories on the basis of the degree of administrative or policy-making responsibility involved. Initial assignment to a specific position and any subsequent reassignments are handled administratively. In addition to a position assignment, each professional staff member holds a title denoting professional

rank, which is independent of the position held and which reflects the level of professional achievement of the individual, largely as perceived by peers.

The formulation of the system of position categories and the establishment of the system of professional ranks have provided the impetus for a number of important procedural changes designed to assure the continuing development of a distinctive professional staff:

- 1) The provisional nature of the initial appointment to the professional staff has been formalized, as has the process of performance review, both during the provisional period and immediately prior to promotion to the permanent staff.

- 2) A peer review process to assess professional performance and to provide a basis for promotion in rank has been established.

- 3) Individual positions have been carefully classified, with special attention given to the description of levels of administrative responsibility and to the identification of positions that affect, in substantial ways, general library directions and overall library performance.

An important goal of the Columbia program is to upgrade the profession of academic and research

librarianship by raising the sights of individual members, by encouraging higher standards of performance, and by identifying ways for Columbia's librarians to contribute even more effectively than they now do to the academic purposes of the University. In the long run, the quality of recruits to the profession, the nature of professional education, personal satisfaction and financial rewards will all be influenced by Columbia's professional staff program.

Professional Ranks

Members of the professional staff of the University Libraries hold one of four ranks:

Librarian I

This is the beginning professional level. Appointment to this rank is annual, for no more than three years. Individuals must be promoted from this "provisional" rank by the end of the third year or be subject to termination. Normally this rank is used for librarians with limited experience in academic or research libraries, most often individuals coming to Columbia directly from library school.

Librarian II

This is the first "career" rank, and individuals promoted to Librarian II are those who have adequately

demonstrated professional skills and perceptions as well as an affinity for academic and research library work. Individuals are usually in this rank for a minimum of three years before being considered for promotion, although provisions for early promotion exist and may be used in exceptional cases.

Librarian III

This is the principal professional rank, which it is assumed a majority of staff members will attain. This rank indicates a high level of professional skill and performance, and promotion to this rank signifies that the individual concerned is judged to be carrying out professional obligations in a fully acceptable manner. A minimum of five years as Librarian III is required before review for further promotion is undertaken.

Librarian IV

This rank is designed to recognize distinctive performance over a long period of time at Columbia and in the profession generally. It is anticipated that promotion to this rank will be exceptional rather than usual.

Position Categories

Except for those of the University Librarian, the directors of Library Resources, of Library Services, and of Library Technical Support, and the heads of the Law and Health Sciences libraries, all positions within the administrative organization are classified by function and responsibility into the following five categories:

Position Category I

Positions in this category are responsible for performing duties requiring the utilization of the fully realized professional skills and techniques of the trained and experienced librarian. They involve complex technical, bibliographical, or administrative skills. These positions may have supervisory responsibility for supporting staff and for a relatively small number of professional librarians. Administrative responsibility for relatively small units may be involved. These positions may participate in the development of policies, programs, and services and have responsibility for their implementation.

Position Category II

Positions in this category are responsible for administrative, bibliographical, or technical functions of a broader scope than those in Position Category I or for performing an unusual amount of original bibliographical research. These positions may have supervisory responsibility for a medium to large unit involving supporting staff, for a smaller specialized unit, or share such responsibility for a relatively large number of professionals with a senior officer. Responsibility for the development and implementation of policies, programs, and services is generally more extensive in this category.

Position Category III

Positions in this category are responsible for service, technical, bibliographical, or administrative functions which have substantial implications for library operations and performance, including responsibility for the development and implementation of policies, programs, and services.

Position Category IV

Positions in this category are responsible for service, technical, bibliographical, or administrative functions which have more substantial implications for library operations and performance than those in Position Category III. These positions are heavily involved in the development and implementation of policies, programs, and services.

Position Category V

Positions in this category are responsible for major administrative components of the library system or for formulating and executing system-wide policies, programs, and services, with appropriate consultation.

MICHIGAN STATE UNIVERSITY

PERSONNEL POLICIES

EQUAL OPPORTUNITY *

Michigan State University Library affirms the policy of the University in its dedication to a policy of equal opportunity with respect to employees. This policy was reasserted by the Board of Trustees at its February 1970 meeting:

"The Board of Trustees of Michigan State University reaffirms its commitment to a policy of no discrimination on the basis of race, creed, ethnic origin or sex and establishes the following procedures to prevent such discrimination in accordance with due process within the University community. In doing so, the Board recognizes that it is not enough to proclaim that we do not discriminate against minority groups. The University must also strive actively to build a community in which opportunity is equalized and use its facilities and human resources to develop the skills and opportunities of the members of all groups so they may play responsible and productive roles in society. This policy is relevant to all aspects of the University including the choice of contractors and suppliers of goods and services."

To implement this policy, the Board directed the establishment of the Committee Against Discrimination and the Anti-Discrimination Judicial Board. The Committee Against Discrimination is directed to examine departmental or other group practices within the University which may encourage or result in illegal discrimination and to recommend appropriate corrective measures. The Anti-Discrimination Judicial Board is directed to investigate alleged acts of illegal discrimination against individuals occurring within the University.

These committees may be contacted through the Office of Equal Opportunity Programs which provides them with staff service.

AFFIRMATIVE ACTION

The Library's statement** (drafted July, 1978) for its affirmative action program for equal opportunity follows:

*As stated in the *Faculty Handbook* issued to all University faculty members.

**M.S.U. Libraries Affirmative Action Program for Equal Opportunity.

"The Michigan State University Libraries in recognition of its social concern, responsibility for personal development of individuals, concern for rights of individuals and its obligation to comply with applicable case law and relevant state, federal and local anti-discrimination statutes, guidelines and executive orders, adopts the following programs and policies for affirmative action and equal opportunity as a positive continuing program for all operations of the Libraries:

I. Employment

1. The affirmative action program for equal opportunity shall apply equally to the entire library system and to all personnel policies and procedures and to all persons without regard to race, color, religion, national origin or ancestry, sex, age, marital status, physical handicap or sexual preference.
2. This policy shall apply equally to all types of appointments recommended by the Director of Libraries whether full or part-time or whether student, clerical-technical, faculty or other employment classifications.
3. This policy shall govern all library practices and procedures, including but not necessarily limited to: recruitment, hiring, rates of pay or other compensations, upgrading, promotion, transfer, demotion, termination, lay off, leave, training and employee benefits of whatever nature.

II. Administration and Implementation

The implementation of this policy shall be the responsibility of the Director of Libraries. The Library Affirmative Action Officer shall interpret and administer the policies with the advice and assistance of the Library Affirmative Action Committee. The duties of the Affirmative Action Officer shall include but not be limited to:

1. Monitoring and evaluating the progress in implementation of this policy through comparison to pre-determined guidelines and goals established by the Committee and consistent with the Library's advisory system.
2. Preparation of periodic reports for the Director of Libraries on the progress in implementation, problems encountered and their resolution.
3. Conferring with the Library staff to identify problems and recommend solutions.

4. Incorporation of this policy as a component of the *M.S.U. Library Policy and Procedure Manual*.
5. Seeking recruitment sources, especially those which would generate suitable candidates to meet affirmative action goals.
6. "Equal Opportunity/Affirmative Action Employer" will appear on all Library correspondence concerning recruitment.
7. Advising all employees to update their personnel folders so that current information will be available when vacancies occur.
8. Monitoring job descriptions and hiring criteria to assure that they reflect actual job needs.
9. Assist and encourage employees to qualify for upgrading.
10. Distribute and/or post information regarding local and national resources that provide relevant training.
11. Recommending changes and additions to this policy that may appear to be necessary based on the monitoring and evaluation of this policy's implementation.

III. Internal Dissemination of Policy

Copies of this policy shall be distributed to all employees, posted on employee bulletin boards and given to all applicants for employment.

IV. External Dissemination of Policy

A copy of this policy shall be circulated to recruitment sources; to local racial and ethnic minority and women's organizations including but not limited to Greater Lansing Urban League; NAACP; MESC; Capital Area Career Center in Mason; M.S.U. Placement Services; M.S.U. Human Relations Department; M.S.U. Office of Special Programs; North American Indian Center; Quinto Sol; El Renacimiento; United Merchants of Opportunity, Inc.; Cristo Rey Community Center; Lansing area private employment agencies; appropriate colleges and universities with M.L.S., Library Technological programs or others related to library positions.

✓ EQUAL OPPORTUNITY

The Board of Regents has committed itself and the University of Minnesota to the policy that there shall be no discrimination in the treatment of persons because of race, creed, color, sex, national origin, or handicap. A copy of the complete human rights statement appears on the inside front cover of this publication. This policy is particularly applicable in the recruitment and hiring of members of the faculty and staff and in promoting the academic pursuits of all students at both undergraduate and

graduate levels. Individual faculty members are expected to support the development of affirmative action programs that will provide: an ethnic and sex balance in their departments. The *University Affirmative Action Program* contains a full statement of policies and programs and is available through departmental offices or the Office of Equal Opportunity and Affirmative Action.

An equal opportunity statement must appear on all University publications. For compliance with Title IX and with Section 504 of the Rehabilitation Act of 1973, all publications concerning admissions and employment, such as catalogs, bulletins, and application forms, must carry the human rights statement. Contact the Office of Equal Opportunity and Affirmative Action for an appropriate statement for a particular publication.

Access for Handicapped Persons. Recent civil rights legislation has clarified and confirmed the responsibility of the University and its faculty to provide handicapped persons equal access to educational programs. The University has attempted to improve such access by removing architectural barriers, developing educational support systems, reassessing admissions policies, encouraging awareness of disabilities, and promoting equal employment opportunity, among other things. This educational philosophy, known as "mainstreaming," recognizes the right of disabled persons to equality of opportunity in education and employment, and stresses the advantages accruing to all students when students with disabilities are integrated into regular programs.

The HEW regulations implementing Section 504 of the 1973 Rehabilitation Act have added impetus to the University's mainstreaming efforts. The primary provision of the regulations is that each program or activity, when viewed in its entirety, should be readily accessible to handicapped persons.

The regulations place responsibility not only upon the University as a whole but also upon individual department heads and faculty members. Consideration of academic adjustments — such as rescheduling classes to physically accessible locations, providing alternative testing arrangements, allowing the use of tape recorders and other educational aids in the classroom, modifying or substituting required courses, and extending time limits for completion of degree programs — is now mandatory. Although the regulations require the provision of academic adjustment on the basis of individual need, they do not call for the arrangement of any accommodation that compromises essential academic standards.

Any faculty member who has a student with a disability in his or her class may consult the *Enabler*, an information and resource guide for faculty and staff as well as disabled students. Copies are available in college offices. Further information about disabilities and technical assistance may be obtained from the Rehabilitation Services office of the Student Counseling Bureau. Information about the regulations may be obtained from the Office of Equal Opportunity and Affirmative Action.

APPENDIX

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Note: These appendices consist of administrative policies approved by the Chancellor of The University of Tennessee, Knoxville. They are not approved by the Board of Trustees, are not legally binding upon The University of Tennessee, and are superseded by any policies of the Board of Trustees with which they may conflict. These policies are subject to change without notice, and a copy of the most recent versions of each appendix may be obtained from the following offices:

Appendix 1 Vice Chancellor for Planning and Administration

Appendix 2 Vice Chancellor for Academic Affairs

Appendix 3 Dean of Admissions and Records

Appendix 4 Vice Chancellor for Planning and Administration

APPENDIX 1

UTK EQUAL EMPLOYMENT OPPORTUNITY POLICY

Issued February 14, 1969;
Revised, 1970, 1972, 1974, 1976, 1978

Objective: To set, define, and communicate broadly the policy of The University of Tennessee, Knoxville concerning fair employment practices and equal employment opportunity for all UTK employees and applicants for UTK employment.

1. The University of Tennessee, Knoxville offers equal employment opportunity to all its employees and to all applicants for UTK employment without regard to race, religion, sex, age, national origin, or veteran status, as required by federal, state, and local laws, executive orders, and regulations pertaining to fair employment practices. UTK is also prepared to make reasonable accommodations to allow employment of handicapped individuals. This policy extends to recruitment, employment, promotion, UTK-sponsored training programs, educational opportunities, compensation, leave, tuition assistance, transfers, lay-offs, return from layoffs, demotions, terminations, social and recreational programs, use of the University facilities, and treatment as individuals. This policy is binding on all

UTK employees engaged in any of the processes or programs listed above.

UTK views this policy as being basic to the institutional commitment, not as merely a means of complying with orders, laws, and regulations to which it is subject.

2. Advertising copy prepared to announce available positions at UTK shall comply in all regards with federal, state, and local regulations pertaining to equal employment opportunity. In the case of advertisements for faculty and staff-exempt positions, copies of advertisements placed are to be maintained on file by the head of the unit advertising the vacancy. The UTK Personnel Office will place all advertisements for staff non-exempt position vacancies and will maintain on file copies of all such advertisements.

3. Sources of referral utilized by UTK units are to be informed in writing of this policy and UTK's intention to seek out and employ qualified applicants without regard to race, color, religion, sex, age, national origin, handicap, or veteran status. A copy of such notification shall be maintained on file by the head of the unit contacting the source of referral, in the case of faculty and staff-exempt positions. The UTK Personnel Office will notify sources of referral for staff non-exempt positions and will maintain on file copies of the notifications.

4. Employment decisions shall be based solely upon an individual's qualifications for the position for which he/she is being considered.

5. Promotions shall be made in accord with the principles of equal employment opportunity. Only valid, job-related requirements for advancement will be established.

6. No employee shall be excluded from participation in any University-sponsored activity or denied the benefits of any University program on the grounds of race, color, religion, sex, age, national origin, or veteran status. The University is prepared to make reasonable accommodations to allow participation by the handicapped in its programs, activities, and benefits.

7. Evaluation of supervisors' and managers' work performance will include a review of their equal employment efforts and results, as well as other criteria.

8. Reports required by federal, state, and local agencies with regard to equal employment opportunity and affirmative action shall be submitted to the Office of the Vice Chancellor for Planning and Administration, which office will also maintain such reports on file.

UTK deans, directors, managers, and supervisors shall be apprised of this policy in writing and shall be reminded of its provisions at least once a year. A record shall be made of

such notices by the Affirmative Action Coordinator. Employee Handbooks, the Faculty Handbook, and Affirmative Action Plan, and other appropriate documents shall contain this policy. This policy, consisting of the eight provisions above, shall be posted in conspicuous places throughout the campus and shall be on file in the office of all budgetary unit heads.

In support of the intent of this policy, UTK has issued an Affirmative Action Plan. It shall be the responsibility of the Office of the Vice Chancellor for Planning and Administration to monitor the effectiveness of the implementation of this policy by monitoring the provisions of the Affirmative Action Plan.

APPENDIX 2

UTK TEACHING/LEARNING GUIDELINES

GUIDELINES FOR UTK FACULTY MEMBERS

(All Teaching Staff)

Introduction. The brief statement which follows is intended to provide some guidelines for the faculty member (all members of the university's academic teaching staff) with regard to the teaching/learning process. We hope that the guidelines will be especially useful to members of the faculty who have just entered the profession, though more experienced teachers may also be glad to reflect on these guidelines.

The guidelines are offered in the form of advice and counsel; they are not so comprehensive as to cover every possible eventuality in the teaching/learning experience; there would be other equally good ways of handling some of the circumstances mentioned here. These guidelines are mainly a reminder of some of the principal aspects of the teaching/learning process which should be observed by the university teacher.

Course Organization. It is the responsibility of the faculty member to organize class material as efficiently and effectively as possible at the beginning of each term of instruction. Course objectives should be made clear at the first session. At this time the students should be informed if the course is not adequately described in the *General Catalog*, the *Graduate Catalog*, or publications of the various colleges and departments.

At an early class meeting, the teacher should announce and discuss with the members of the class such matters as required readings; the approximate number of tests; the basis for the final grade with regard to the value to be placed on class recitation, major tests, minor tests, research papers, etc. Once such basic principles for the conduct of the course have been announced, the instructor should later make changes only after careful consideration and consultation with the students. The value assigned to tests and research papers should not be changed, unless the faculty member finds that his or her earlier expectations were unreasonable and that, for example, the number of tests should be reduced because of the exigencies of time or a

shortage of library resources. Faculty members should take great care to insure that book orders are turned in on time so that sufficient copies of text materials can be available at the beginning of the term. Teachers should distinguish carefully between books and material required, and those recommended. The faculty member should also be concerned that the university libraries are appropriately notified about reserve materials.

At the same time faculty members should take great care in allowing additional students to enroll in a course after the section is filled, making certain that there is sufficient classroom space, enough textbooks available, and sufficient time to carry out additional burdens, such as grading of course work created by an oversize enrollment and fulfilling other commitments in the areas of research, publication, and university service.

Conducting the Course. The faculty member should set an example for students in being faithful in attendance and punctual in starting and ending classes. Students should be informed of all planned absences as early as possible. When a faculty member must be away from class to attend a conference or deal with other professional matters, he or she should be willing to compensate for the absences by arranging substitute class sessions, in consultation with the class. In an emergency, the faculty member should have the class notified through the agency of the departmental office that he or she is compelled to be absent.

In presenting course content, the faculty member should endeavor at all times to adhere to his or her subject; the classroom should not be used as a theatre for expression of personal views which are not germane to the course. The faculty member should take care that the tests and all other devices for student evaluation are appropriate instruments for measuring course content. Ideally the test will reflect the goals of the course and should serve the function of measuring the students' course progress as clearly as possible. Moreover, the faculty member should return all tests as soon as possible and discuss them with the students so that the test remains an educational instrument; thus students can learn from testing as well as from other class activities. An instructor should be willing to discuss with a student his or her academic standing at any time during the quarter.

Atmosphere for Teaching and Learning. It is very important that the faculty member create from the beginning, and preserve throughout the course, an atmosphere conducive to learning. Both teacher and student should feel that they have come together in the common cause of the pursuit of learning. In such a pursuit, the faculty member must be continually sensitive to students' needs, desires, and expectations and should exercise the kinds of judgments which demonstrate this kind of sensitivity. This does not mean that the faculty member is subject to the wills and whims of students enrolled in his or her course, but with such faculty awareness, unreasonable confrontations may be avoided. It is in this atmosphere of friendly and serious scholarship that the cause of learning can be most appropriately advanced.